

5-1-2005

# Principal and Teacher Flow of Influence in High-Achieving, High Poverty Schools

Lisa Murley

*Western Kentucky University*

Follow this and additional works at: <http://digitalcommons.wku.edu/theses>



Part of the [Education Commons](#)

---

## Recommended Citation

Murley, Lisa, "Principal and Teacher Flow of Influence in High-Achieving, High Poverty Schools" (2005). *Masters Theses & Specialist Projects*. Paper 348.

<http://digitalcommons.wku.edu/theses/348>

This Dissertation is brought to you for free and open access by TopSCHOLAR®. It has been accepted for inclusion in Masters Theses & Specialist Projects by an authorized administrator of TopSCHOLAR®. For more information, please contact [connie.foster@wku.edu](mailto:connie.foster@wku.edu).

PRINCIPAL AND TEACHER FLOW OF INFLUENCE IN HIGH-ACHIEVING,  
HIGH-POVERTY SCHOOLS

By

Lisa Downing Murley  
B.S., Western Kentucky University, 1981  
M.A., Western Kentucky University, 1984  
Rank I, Western Kentucky University, 1999

A Dissertation  
Submitted to the Faculty of the  
Graduate School of the University of Louisville  
In Cooperation with  
The Faculty of the Graduate School  
Of Western Kentucky University  
In Partial Fulfillment of the Requirements  
For the Degree of

Doctor of Philosophy

Department of Education  
University of Louisville  
In Cooperation With  
Western Kentucky University

May 2005

PRINCIPAL AND TEACHER FLOW OF INFLUENCE IN HIGH-ACHIEVING,  
HIGH-POVERTY SCHOOLS

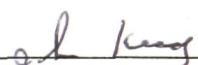
By

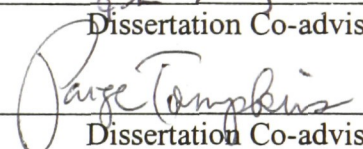
Lisa Downing Murley  
B.S., Western Kentucky University, 1981  
M.A., Western Kentucky University, 1984  
Rank I, Western Kentucky University, 1999

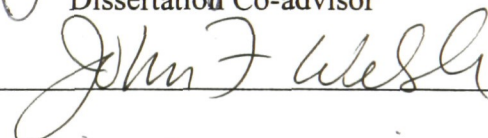
A Dissertation Approved on

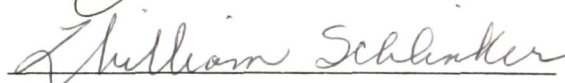
March 4, 2005

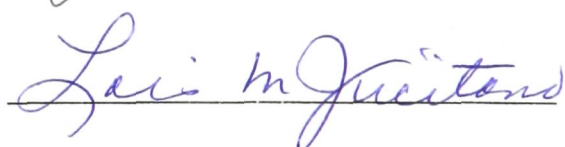
by the following Dissertation Committee:

  
\_\_\_\_\_  
Dissertation Co-advisor

  
\_\_\_\_\_  
Dissertation Co-advisor

  
\_\_\_\_\_

  
\_\_\_\_\_

  
\_\_\_\_\_

## DEDICATION

This work is dedicated to my husband, Tim Murley, who believes that I can accomplish anything! His support and encouragement were unyielding throughout this journey. He exemplifies excellence in his profession as an educator, his role as a husband and father, and also in his faith. His love and laughter make life fun!



## ACKNOWLEDGEMENTS

First, and foremost, all praise, honor, and glory goes to the Greatest Teacher and Leader, the Lord Jesus Christ who makes all things possible through His unfailing grace. To my professor, Dr. John L. Keedy, my deepest gratitude and appreciation. Thank you for realizing there was a potential for excellence in me, even as a struggling, beginning doctoral student. Thank you for sharing your wisdom, guidance, and your brilliant mind. You taught me the art of scholarly thinking and writing while always requiring excellence. A sincere thankfulness is extended to my committee members and the faculty at Western Kentucky University for maintaining high academic standards and genuinely caring about all students.

To my children, Brady and Joe Murley, you have been my teachers since the moment you were born. I love you! To my parents, Joe and Judy Downing, and grandparents, Glen and Jessie P. Jackson and George and Vernon Downing, thank you for exemplifying an enduring love of learning that has passed to all the children and grandchildren. To my sister, Lori Murphy, and brother, Jack Downing, I am thankful for growing and learning with you.

And, in memory of Dr. Lou Turley, a dear friend, who continually shared his wisdom and encouragement so I would be successful. His death prevented him from seeing this work to completion. Thanks, Lou—I did it!

Dr. Lou Turley

1953-2004

## ABSTRACT

### PRINCIPAL AND TEACHERS FLOW OF INFLUENCE IN HIGH-ACHIEVING, HIGH-POVERTY SCHOOLS

Lisa Downing Murley

March 4, 2005

The research problem grounding this study was that due to the increased accountability from state and national school reform efforts, the principal and teacher cannot steadily increase student outcomes in their isolated roles. A two-way flow of influence should exist between the principal and teacher to increase instructional capacity. The purpose of this study was to investigate the flow of influence in three high-poverty, high-achieving elementary schools to see in what ways social influence was exchanged between principals and teachers and how might this exchange increase instructional capacity. The two central research questions were:

1. In what ways do principals and teachers in high-poverty, high-achieving schools exchange social influence?
2. How might this exchange increase instructional capacity building?

Schools with high-achievement and high-poverty were targeted for this study because they had overcome barriers (high poverty) and exceeded or met accountability goals for the last two biennia. Other criteria included principal tenure of three or more years and the willingness of the teachers, principal, and superintendents to be participants in the study. Case studies were conducted in three schools that met the site selection

criteria. The interpretive case study design afforded the researcher opportunities to closely examine the underlying sociological factors that might be related to increased student outcomes. A two-way flow of influence was found in all three schools. A cross case analysis resulted in these findings: (a) a prerequisite existed for the flow of influence to be operationalized, (b) a teacher-initiated exchange was present in all schools, and (c) needed components of the exchange were possessed by both the principal and teachers.

This dissertation included five chapters. Chapter One introduced the study and defined terms. Chapter Two traced the history of reform and noted the increased accountability required of the principal and teachers. Early theorists who examined a flow of influence and norm of reciprocity were also discussed in Chapter Two along with results from research studies that targeted the flow of influence between teachers and the principal. Chapter Three reported the methodology and research questions. The findings were discussed in Chapter Four and Chapter Five provided answers to the two research questions.

## TABLE OF CONTENTS

|   | PAGE |
|---|------|
| DEDICATION .....  | iii  |
| ACKNOWLEDGEMENTS .....  | iv   |
| ABSTRACT .....  | v    |
| LIST OF TABLES .....  | xi   |
| CHAPTER   |      |
| I. INTRODUCTION.....  | 1    |
| Background to the Study .....                                 | 2    |
| Purpose of the Study .....                                    | 4    |
| Significance of the Study .....                               | 5    |
| Problem .....   | 7    |
| Definition of Terms .....                                     | 8    |
| II. REVIEW OF LITERATURE.....                                 | 15   |
| School Reform and Accountability .....                        | 16   |
| First Wave Reform: National Focus on Education .....          | 16   |
| Second Wave Reform: Decentralization and Accountability ..... | 20   |
| Decentralization .....  | 20   |
| Accountability .....  | 24   |
| Accountability and Student Outcomes.....                      | 28   |
| No Child Left Behind.....                                     | 30   |
| Accountability and the Principal .....                        | 32   |

|   |     |
|---|-----|
| Summary of School Reform and Accountability .....               | 40  |
| The Evolving Role of the Principal .....                        | 43  |
| The Principal's Role in Increasing Instructional Capacity ..... | 47  |
| Summary of The Evolving Role of the Principal.....              | 57  |
| Influence-Gaining Strategies .....                              | 58  |
| The Flow of Influence.....                                      | 85  |
| A Theoretical Examination of the Flow of Influence .....        | 86  |
| Principal and Teacher Influence .....                           | 89  |
| A Two-Way Flow of Influence.....                                | 94  |
| An Imbalance of Exchange .....                                  | 99  |
| Summary of Chapter Two.....                                     | 103 |
| Research Problem .....  | 111 |
| Purpose of Study .....  | 111 |
| III. METHODOLOGY .....  | 113 |
| Research Design.....  | 114 |
| Procedures.....   | 117 |
| Data Collection .....   | 119 |
| Interviews.....   | 120 |
| Questions.....  | 120 |
| Principal Interview .....                                       | 120 |
| Teacher Interview .....   | 121 |
| Norm Checklist .....  | 123 |
| Observation .....   | 124 |
| Document Mining .....   | 124 |

|   |     |
|---|-----|
| Data Analysis .....   | 125 |
| Within-Case Data Triangulation .....                        | 125 |
| Cross-Case Analysis.....                                    | 126 |
| Truthworthiness.....  | 127 |
| Triangulation .....   | 127 |
| Member Checks.....  | 127 |
| The Investigator Position .....                             | 127 |
| Multiple Methods .....                                      | 128 |
| Process Documentation .....                                 | 128 |
| Cross-Case Analysis.....                                    | 128 |
| Generalizability .....                                      | 128 |
| Rich, Thick Description .....                               | 129 |
| Limitations of the Study.....                               | 130 |
| IV.    RESULTS .....  | 131 |
| Jackson Elementary School Teachers and Principal Glen ..... | 131 |
| School Context.....   | 131 |
| Case Analysis .....   | 133 |
| Collectivity.....   | 134 |
| Motivators for Success .....                                | 139 |
| High Expectations .....                                     | 144 |
| A Resource for Others.....                                  | 147 |
| Case Interpretation .....                                   | 160 |
| Brandon Elementary School Teachers and Principal Tims.....  | 169 |
| School Context.....   | 169 |

|   |     |
|---|-----|
| Case Analysis.....  | 171 |
| Socialized Priorities .....   | 171 |
| Learned From Others .....   | 179 |
| Instructional Capacity Building .....                               | 183 |
| Case Interpretation .....   | 190 |
| Joseph Elementary School Teachers and Principal Blaine .....        | 200 |
| School Context.....   | 200 |
| Case Analysis.....  | 202 |
| Allegiance .....  | 202 |
| Open Communication .....  | 209 |
| Instructional Expertise .....                                       | 218 |
| Case Interpretation .....   | 224 |
| V. SUMMARY AND DISCUSSIONS .....                                    | 231 |
| Summary of Research Findings .....                                  | 231 |
| Jackson Elementary School .....                                     | 231 |
| Brandon Elementary School .....                                     | 236 |
| Joseph Elementary School .....                                      | 241 |
| Discussion of Research Findings .....                               | 246 |
| Cross-Case Analysis .....   | 246 |
| Generalizations to the Literature.....                              | 249 |
| Implications for Researchers, Policymakers, and Practitioners ..... | 252 |
| REFERENCES .....  | 254 |
| APPENDICES .....  | 261 |
| CURRICULUM VITAE.....   | 268 |

## LIST OF TABLES

| TABLE  | PAGE |
|--|------|
| 1. Influence-Gaining Strategies Connected to Social Bases of Power .....                     | 81   |
| 2. Norm Checklist Data.....  | 124  |
| 3. Principal Glen and Jackson Elementary School .....  | 133  |
| 4. Principal Tims and Brandon Elementary School.....   | 171  |
| 5. Principal Blaine and Joseph Elementary School .....                                       | 202  |
| 6. Jackson Elementary Principal and Teacher Exchange that Improved Student<br>Outcomes ..... | 233  |
| 7. Brandon Elementary Principal and Teacher Exchange that Improved Student<br>Outcomes ..... | 238  |
| 8. Joseph Elementary Principal and Teacher Exchange that Improved Student<br>Outcomes .....  | 243  |



## CHAPTER I

### INTRODUCTION

Leadership is an illusory term with many definitions even among those who study the concept (Katz & Kahn, 1978). There are as many definitions as there are writers on the subject. Sergiovanni (1996) described leadership as a “process of getting a group to take action that embodies the leader’s purposes” (p. 87). Basic to the understanding of leadership is the concept that for leadership to exist, there must be followers. It is a relational concept and has to do with social exchange and reciprocity among people. In an organization (i.e., a school), leadership flows through a network of roles (Ogawa & Bossert, 1995). It is a flow of influence.

Typically, leadership studies in school organizations focused on principals and superintendents (Ogawa & Bossert, 1995). This study follows that course in that it focuses on a hypothesized flow of influence from the principal to the teacher and from teacher to principal. An examination of the roles and norms of both principal and teachers frames the setting for which the hypothesized flow of influence was observed throughout the school.

Increasing instructional capacity that improves student outcomes is the desired result of the exchange of influence in the principal and teacher relationship (McDonald, 2001). Capacity building ensures that the school will continue to function at the same or an increased level of operation even when the leader is absent. Covey (1991) used the following old axiom to describe his philosophy of leadership and change. In this case, it

is applicable to increasing capacity: “Give a man a fish and you feed him for a day. Teach him how to fish and you feed him for a lifetime” (p. 313).

Due to increased accountability from reform efforts, educators have a greater responsibility to improve student outcomes. The principal and teacher have a collective responsibility for the students and schools to meet accountability goals. They must relate to each other in collaborative ways to increase capacity.

### Background to the Study

The need for principals to increase instructional capacity became evident throughout reform efforts. The publication of *A Nation at Risk* (National Commission on Excellence in Education [NCEE], 1983) confirmed the belief that education must improve and, therefore, became the foundation of subsequent reform efforts that occurred in the mid 1980s and early 1990s. These reform efforts brought change through the decentralization of schools and increased accountability. *A Nation Prepared: Teachers for the Twenty-first Century* and *Tomorrow's Teachers: A Report of the Holmes Group* promoted a decentralized approach to school leadership. Spillane and Thompson (1997) reported that creating positive relationships and human capital (i.e., principal and teachers) were critical in increasing capacity, which validated the decentralization of leadership.

Along with decentralization came the need for increased measures of accountability that evaluated progress of leaders at the local level. Such accountability is a component of the Kentucky Education Reform Act of 1990 (KERA). This act was passed as a result of the Kentucky Supreme Court opinion (*Rose v. Council for Better Education*, 1989) that declared Kentucky’s public school system unconstitutional. KERA

increased school accountability through assessment measures and holds principals, teachers, schools, and districts responsible for meeting them.

School success is measured by an accountability formula that includes a continuous improvement goal, and all students are included. This testing system, Kentucky Instructional Results Information System (KIRIS), was replaced in 1998 with the Commonwealth Accountability Testing System (CATS), which followed similar guidelines as KIRIS and is designed to measure school progress toward proficiency.

In 2001 Congress passed the No Child Left Behind Act (NCLB) and established federal guidelines that require schools to analyze data and set their own standards for proficiency (i.e., average yearly progress). A school or district that does not meet the average yearly progress (AYP) for two straight years is considered to be in need of improvement. Kentucky school and student accountability have never been at a higher standard as a result of the dual accountability system (i.e., CATS and NCLB).

Due to the increased accountability, principals are forced to increase instructional capacity to improve student outcomes. The principal could not improve student outcomes alone and sought to gain the instructional expertise of teachers by influence-gaining strategies that would improve instructional capacity (McDonald, 2001). The body of research related to principal influence-gaining behaviors was vast. Numerous strategies are employed by the principal to relate to teachers in collaborative ways. Among the varied and numerous influence-gaining strategies reported were: (a) the principal sharing leadership (McDonald, 2001; Wolf, Borko, Elliot, & McIver, 2000); (b) increased communication (Brock & Grady, 1998; Blase & Blase, 1999; Singh & Billingsley, 1998); (c) facilitated reflection (Short, 1994); (d) offered feedback and praise (Blase & Blase,

1996; Blase & Blase, 1999; Hipp & Bredeson, 1995); (e) symbolic and cultural leadership (Campo, 1993); and (f) bureaucratic linkages (Leithwood & Jantzi, 1990).

The research relating to teacher influence throughout the school as an organization is limited. In addition, the findings associated with a two-way flow of exchange are discouraging. Keedy and Simpson (2001) examined the flow of influence in four schools and found inconsistency among those schools. Little (1982) found that less successful schools were not as likely to exhibit reciprocal relationships (i.e., from principal to teacher and from teacher to principal). For an exchange of influence to occur, both the teacher and the principal must be both a dispenser and a receiver of influence. The balance of exchange is destabilized if one of those processes does not happen. Malinowski's 1926 study of the Trobriand Islanders was foundational in understanding the process of exchange as described in *Crime and Custom in Savage Society* (Malinowski, 1985), "There is in every act a sociological dualism: two parties who exchange services and functions, each watching over the measure of fulfillment and the fairness of conduct of the other" (p. 26).

### Purpose of the Study

The purpose of this study is to investigate the flow of influence in three high-achieving, high-poverty elementary schools to see in what ways social influence is exchanged between principals and teachers how those ways might build instructional capacity. The study focuses on high-achieving schools that have overcome student barriers and improved student outcomes. This study adopts the same rationale for site selection as Wolf, Borko, Elliot, and McIver (2000): ". . . we wanted schools with

diverse populations of children, where we would have to look deeper than surface explanations for why good things were happening” (p. 358).

These selected schools have increased student outcomes and met the CATS goals over the last two biennia. They have, in addition, continuously overcome barriers to learning due to high levels of student poverty (i.e., exceeding the state average of free and reduced lunch rate).

Reasons for school success are vast and varied; however, this study focuses on one element of the school environment—the principal and teacher relationship. To narrow the focus even more, the focus will be on one component of that relationship—the flow of influence. The two central research questions are:

1. In what ways do principals and teachers in high-poverty, high-achieving schools exchange social influence?
2. How might this exchange increase instructional capacity building?

#### Significance of the Study

The study is significant for four reasons: (a) principals and teachers need more information about strategies for increasing instructional capacity to improve student outcomes; (b) educational leadership programs and teacher education programs at the post graduate level can benefit from these findings; and (c) the findings can inform state, district, and local level planning for professional development opportunities for the principal and teacher.

First, principals and teachers need more information about creating relationships that increase instructional capacity. The principal cannot improve student outcomes alone, nor can the teacher. Each needs the other to build instructional capacity and

improve student outcomes. This study will focus on schools that have achieved success despite barriers to learning (i.e., high poverty). Kentucky's dual accountability system is "high stakes" and forces schools to continue moving toward proficiency regardless of barriers to learning. Educators need more information from successful schools to inform practice, assist in decision-making, and remove student barriers to learning. Successful schools will benefit from study information as they must continue to exhibit continuous progress.

Second, educational leadership and teacher certification programs must respond to the needs of principal and teachers. Recent reform initiatives (e.g., KERA and NCLB) placed collective responsibility on the principal and teacher for school and student progress toward accountability goals. Educators must learn successful strategies to increase instructional capacity and improve student outcomes. Educational leadership programs could use findings from the study to design curriculum and inform practice. District leadership could use study data to mentor beginning principals and teachers.

Third, the results can assist those planning professional development opportunities for the principal and teacher. As one of the foundations of KERA, professional development (PD) has been an important component of school improvement. Districts and schools receive a state allocation for PD and are continually searching for meaningful and quality PD opportunities. The findings from this study could help PD developers and planners as they strive to assist schools to improve student outcomes.

Finally, there is limited information about strategies that improve student outcomes in schools with barriers to learning (e.g., high poverty). Kentucky has many

schools with high poverty rates, and these study results could assist educators as they strive to meet accountability goals despite almost insurmountable odds. “All children can learn,” the foundational belief of KERA, creates an even higher challenge for educators when the school population is besieged with barriers to learning. The results of this study could serve no greater purpose than to improve learning for all children and assist educators in that quest.

### Problem

Principals cannot unilaterally use influence-gaining strategies. The flow of influence must be a two-way interaction so as not to de-stabilize the balance of exchange between teachers and principals. The teacher may not accept influence from the principal if not allowed to dispense influence; therefore, the principal must be a receiver and dispenser of influence to ensure the balance.

Due to the increased accountability through reform efforts, principals are being forced (if not by choice) to relate to teachers in collaborative ways. The principal leading alone as a managerial or instructional leader has long passed (Hallinger, 1992). The principal must employ influence-gaining strategies to increase instructional capacity and improve student outcomes. The teacher must be a part of a symmetrical exchange of influence (i.e., between the principal and teacher) before the flow of influence can be beneficial and increase instructional capacity. The principal must, therefore, receive influence from the teacher.

The accountability and assessment components of KERA and NCLB require schools to exhibit continuous progress toward goal achievement. This high stakes environment calls for principals and teachers to share responsibility for student outcomes.

An example is the shared leadership advocated in KERA through implementation of Site Based Decision-Making Councils. Another example is the possible job loss or demotion of both the principal and teacher if adequate yearly progress is not met according to NCLB guidelines. These reforms necessitate the principal and teacher working together in varied capacities with the focus on one goal: to increase student outcomes.

The research problem grounding this study was that due to increased accountability from state and national school reform efforts, the principal and teacher cannot steadily increase student outcomes in their isolated roles. A two-way flow of influence should exist between the principal and teacher to increase instructional capacity.

The need to understand the ways that principal and teacher relationships increase instructional capacity is paramount. The principal and teacher relationship includes infinite possibilities for study. The flow of influence is but one small slice of that relationship, but an important one.

#### Definition of Terms

An important component of a research design is the definition of terms. The terms that are used consistently throughout this study are defined as follows.

##### *Accountability Index*

An accountability index is the school score used in Kentucky's Commonwealth Accountability Testing System (CATS). The school accountability index is based on progression in five areas: (a) Kentucky Core Content Tests at grades four, five, seven, eight, ten, eleven and twelve; (b) Writing Portfolios at grades four, seven, and twelve;



(c) Alternate Portfolios at grades four, eight, and last anticipated year; (d) Nonacademic Index which includes attendance, retention, dropout rates, and successful transition to adult life; and (e) Norm-Referenced Tests assessing reading, language arts, and mathematics at the end of Primary, grades six, and nine (Kentucky Department of Education, 2002).

To determine a starting point for schools, the CATS standards were applied to scores during the 1999-2000 school year. A line was drawn beginning where the school scored in 1999-2000 and ending at a score of 100 in 2014, which determined a school goal line. The schools with an accountability index at or above the goal line are meeting the goal, and those below the line to an index or score of 80 are progressing. Schools below the assistance line are eligible for financial and professional help.

The categories used to report student results are Novice, Apprentice, Proficient, and Distinguished. Novice students demonstrate minimal or limited knowledge and reasoning. Apprentice students display some basic content knowledge and reasoning. Proficient students demonstrate broad content knowledge and apply it. Distinguished students have a comprehensive knowledge of content and demonstrate in-depth and insightful answers (Kentucky Department of Education, 2002). The accountability index is based on a formula that weighs student performance in terms of these four performance standards: (a) Novice—0, (b) Apprentice—.4, (c) Proficient—1.0, and (d) Distinguished—1.4 (McDonald, 2001). When 100% of students are proficient, the school accountability index is 100, which is the goal for all Kentucky schools.

### *Adequate Yearly Progress*

Adequate Yearly Progress (AYP) is used to determine when a school has met its annual accountability goal in the NCLB system. Four components are used to determine whether a school or district achieves AYP: (a) met annual measurable objective (AMO) in reading and math, (b) showed progress on the accountability index at the elementary and middle school levels, (c) showed progress toward 100% graduation rate at the high school level, and (d) assessed at least 95% of enrolled students and subpopulations of sufficient size (Kentucky Department of Education, 2003).

The CATS and NCLB guidelines require schools to achieve to the same goal: proficiency by 2014. There are several differences in the means to reach proficiency in CATS and NCLB, as outlined in the definition of terms in this section. These differences led to the use of the term “dual accountability system” that Kentucky educators have used to describe accountability measures for schools in the Commonwealth since the passage of the NCLB requirements in 2002.

### *Commonwealth Accountability Testing System*

Kentucky’s accountability system, the CATS, is a high-stakes system. It was implemented in all Kentucky schools in 1998, replacing the existing accountability system (i.e., KIRIS). CATS followed similar guidelines as KIRIS, a long-term accountability formula. Intermediate targets were set biennially, or every two years beginning in 2002.

All schools and students are expected to demonstrate improvement throughout the long-term accountability model, and means are in place to determine if improvement is occurring. The goal for CATS is for all schools in Kentucky to reach proficiency by

2014. CATS is designed to measure progress toward that goal (Kentucky Department of Education, 2002).

### *Flow of Influence*

The reciprocal flow of influence is the social interaction by which leadership is exchanged with an organization (Ogawa & Bossert, 1995). Homans (1958) defined this social behavior as “. . . an exchange of goods, material goods but also non-material ones . . . Persons that give much to others try to get much from them, and persons that get much from others are under the pressure to give much to them” (p. 606). The flow of influence creates equilibrium if the exchange is mutual. It is but a small slice or characteristic of the principal and teacher relationship.

### *High Achievement*

The research questions indicated that three high achievement schools were used for this study. It is important, therefore, to define high achievement as it relates to those schools. The CATS uses a straight-line measurement beginning with school scores from 1999-2000 and ending with a score of 100 in 2014. This determines the school goal line. The schools with an accountability index (i.e., score) at or above the line are meeting their goals. Progress is measured for a period of two years (i.e., a biennium) until the year 2014, at which all schools are to be at proficiency (i.e., an index of 100). The high achievement schools for this study met goals for two biennia.

### *High Poverty*

The three schools used for this study have high levels of student poverty. It is important to define high poverty as it relates to those schools. The number of students who qualify for free and reduced lunch determines poverty in Kentucky schools. The

state average for students on free and reduced lunch was 51% (S. Bartinfield, personal communication, February 13, 2004). Only schools that exceed the state average were included in this study.

### *Instructional Capacity Building*

For the purpose of this study, instructional capacity building is defined as “The collective power of the full staff to improve student achievement school wide” (Newmann, King, & Youngs, 2000, p.261). As noted by Sergiovanni (1996), “. . . capacity building involves enabling and empowering teachers by increasing their skills, and increasing their commitment to professional values” (p. 141). Capacity building requires more than increasing direct teaching techniques and improvement in traditional classroom practices. It requires decision-making skills based upon deep understanding of content and an unwavering command of instructional practices that are executed in the complex classroom environment (Spillane & Thompson, 1997).

### *Kentucky Education Reform Act*

Kentucky Governor Wallace Wilkinson signed House Bill 940, which became known as the Kentucky Education Reform Act of 1990 (Pankratz & Petrosko, 2000). The Kentucky reform was holistic, as virtually every area of the education system was revised, and became a critical turning point in education across the Commonwealth. It has been viewed as one of the most comprehensive reform initiatives in the nation (Kentucky Department of Education, n.d.b). It increased school accountability and elevated responsibility for school leaders.

### *No Child Left Behind*

Through the passage of NCLB, Congress amended the Elementary and Secondary Education Act (ESEA), which was the existing federal law that guided kindergarten through high school education. The NCLB law required that all children meet the goal of proficiency as defined by each state by the year 2014. Every state was to develop benchmarks to measure progress and to determine that each child is progressing. States were required to analyze data and identify subpopulations (i.e., students with disabilities, students participating in free and reduced lunch programs, and students with limited language proficiency) and design instruction accordingly so that all students would achieve and no child will be left behind.

A school or district that did not meet the state defined standards for Proficiency, or what became known as adequate yearly progress (AYP), for two straight years was considered to be in need of improvement. Kentucky had an assessment and accountability system in place (i.e., CATS) but was also required to implement the accountability process mandated by NCLB.

### *Proficiency*

The goal of the CATS is for all Kentucky schools to reach Proficiency (Kentucky Department of Education, n.d.a). Proficiency is an index (i.e., score) of 100 on a 140-point scale. A description of student standards for the proficiency level follows:

1. Student demonstrates broad content knowledge and applies it,
2. Student clearly communicates with relevant details,
3. Student uses problem solving strategies, and,

4. Student demonstrates critical thinking skills (Kentucky Department of Education, 2002).

### *Reform*

Reform is defined as change efforts meant to better the educational system. Reform efforts are in response to current research, the economy, societal needs, world events, politics, and particularly government reports (i.e., A Nation At Risk). The Kentucky Education Reform Act of 1990 is referenced throughout this study and is the impetus for increased accountability in Kentucky schools.

### *Reciprocity*

Gouldner (1960) described the norm of reciprocity as “. . . in its universal form, as making two interrelated, minimal demands: (a) people should help those who have helped them, and (b) people should not injure those who have helped them” (p. 171).

## CHAPTER II

### REVIEW OF LITERATURE

This review of literature has four sections and is designed to investigate the role of American principals as relationship builders to increase instructional capacity and improve student outcomes. The first section provides a brief history of educational reform and accountability efforts (i.e., 1970s to present). Within this historical context, the need for principals to increase instructional capacity became evident due to reform emphasis on accountability.

The second section traces the role of the principal from manager to instructional leader to a leader who increases instructional capacity. This validates the theory that the principal can no longer act alone, but utilizes shared leadership strategies. This, in turn, leads to the third section of the review, which establishes principal and teacher relationships through influence-gaining strategies. The fourth and final section (a) discusses the theoretical background of the flow of influence in an organization, (b) describes a one-way flow of influence from principal to teacher, and (c) determines the existence of two-way flow of influence from principal to teacher and teacher to principal hypothesized to occur in high-achieving schools.

The first section of the review is a brief history of school reform and accountability, which is sometimes metaphorically referred to as waves. The most recent waves in educational reform still impact education today. National and state reform initiatives

serve as an impetus for improved student outcomes within local schools, as examined in the following section.

### School Reform and Accountability

This section includes a brief review of school reform and accountability and is foundational in nature. The subsections are (a) First Wave Reform: National Focus on Education; (b) Second Wave Reform: Decentralization and Accountability; (c) Accountability and Student Outcomes; and (d) Accountability and the Principal. Although the terms "first wave" and "second wave" are used to describe reform efforts, educational reform began long before the first wave noted in this section.

Educational initiatives respond to current research, the economy, societal needs, world events, politics, and particularly government reports as seen in the first wave of reform. To develop a context for the principal role in increasing instructional capacity and improving student outcomes, this subsection began with the first wave, which included the 1983 *A Nation at Risk* (National Commission on Excellence in Education [NCEE], 1983, p. 3).

#### *First Wave Reform: National Focus on Education*

The highly publicized report, *A Nation at Risk* (NCEE, 1983), prompted the first wave of reform in the 1980s. The NCEE (1983) presented this report to the United States Secretary of Education. The report focused the attention of American citizens on the “. . . mediocrity that threaten[ed] our very future as a nation and a people” (NCEE, 1983, p. 5). The report listed startling statistics of American student test scores in comparison with students from other industrialized nations. In an international comparison of student achievement, American students scored last seven times and were never first or second.



This gained the attention of American citizens, educators, and political leaders. The implications of the report were wide in scope as it targeted the mission of public education. The report also narrowed the focus by outlining problematic areas:

(a) secondary school curricula, (b) student expectations, (c) homework, (d) expenditures for instructional materials, (e) time spent on school work, (f) effective use of class time, and (g) textbooks.

A Nation at Risk (NCEE, 1983) provided substance to the speculation that ". . . the economic problems of the nation were due to educational weakness . . ." (McDonald, 2001, p. 85). The report beckoned for educational improvement by (a) strengthening content, (b) adopting rigorous standards, (c) devoting more time to learning, (d) improving teacher preparation programs, and (e) holding leaders accountable for the progress of education. The report instigated many top-down initiatives by recommending that principals, superintendents, state and local leaders, and the federal government be held accountable for educational improvement (NCEE, 1983).

The A Nation at Risk report (NCEE, 1983) had a broad impact on educational reform at district, state, and national levels (Steffy, 1993). Purkey and Smith (1985) noted that A Nation at Risk created an opportunity for change in American schools. Reform, as described by Purkey and Smith, was based on "finding solutions to relatively complex problems and devising policies that [would] implant those solutions across the spectrum of schools that make up public education" (p. 353).

A closer examination of A Nation at Risk (NCEE, 1983) reveals the fallacies of the report as well. For example, Gardner (1984) summarized A Nation at Risk by outlining the report's major deficiencies: (a) underestimating the contributions of the school,

(b) identifying the wrong problem, and (c) prescribing simple solutions to complex problems. According to Gardner (1984), *A Nation at Risk* disregarded social forces (i.e., equal educational access to all races, a large number of immigrants, and more students graduating from high school) and, therefore, minimized how schools adapted to these needs. He indicated that *A Nation at Risk* might have identified the wrong problem by targeting a central theme as the “rising tide of mediocrity” (NCEE, 1983, p. 14).

Mediocrity was a problem that the middle class regarded as significant and, therefore, discounted those from lower socioeconomic backgrounds. Problems with students from poverty should have been of most importance, rather than those from middle class backgrounds. Gardner (1984) stated that *A Nation at Risk* (NCEE, 1983) prescribed basic solutions (e.g., all students studying more subjects and doing more homework) to complex problems.

*A Nation at Risk* (NCEE, 1983) was predicted to be “the most influential of its genre because it was readable, timely, and superbly promoted” (Gardner, p. 15). He warned, however, that *A Nation at Risk* had a limited viewpoint on social and educational issues. Gardner’s points were notable, as he anticipated the report’s depth of influence but remained cautionary about the content. An implication of the report specifically included the public’s heightened focus on education. *A Nation at Risk* gained national recognition, and its influence went beyond the importance of its content.

Hlebowitsh (1990) explained how the report gained national recognition using MacKenzie’s (1964) model of curriculum change. The components of MacKenzie’s model were (a) advocacy and communication; (b) prestige; (c) competence; (d) money and goods; (e) legal authority; and (f) policy, precedent, and custom. Hlebowitsh (1990)

stated that *A Nation at Risk* (NCEE, 1983) quickly became a top news story, with all three major television networks picking up the story as well as major news magazines. According to Hlebowitsh (1990), the media coverage seemed promotional, particularly focusing on movements toward excellence after the publication of the report.

Hlebowitsh (1990) described the impressive credentials of the members of NCEE, therefore, making the point that the report was viewed as competent. After the release of the report, action was evident in all 50 task forces. Many governors pushed reform to improve the image of education in their respective states. Hlebowitsh (1990) concluded that *A Nation at Risk* (NCEE, 1983) drew public attention to schools. It was not what the report said that became important, but “how and to whom NCEE said it” that brought the spotlight upon it (Hlebowitsh, p. 88).

Both Gardner (1984) and Hlebowitsh (1990) shared significant information regarding the report, *A Nation at Risk* (NCEE, 1983), and its impact upon national reform. The report captured the attention of Americans, as it confirmed the notion that education must improve. Kentuckians were no exception as the report created the basis for state reform efforts. As a result, “. . . reactions from the state level encompassed everything from testing teachers and principals to dictating how many minutes would be spent on instruction in subject areas” (McDonald, 2001, p. 85).

The quest for improved student outcomes brought about an increased focus on accountability. Within the accountability movement, more centralized control evolved, placing power and authority in the administration at the school, district, and state levels (Morrison, 2003). School centralization, a top-down approach, called for principals to be instructional leaders and was described as “catalysts for change in effective schools”

(Hallinger, 1992, p. 38). It became evident, however, that principals could not meet this challenge alone. The mid 1980s called for principals to lead school improvement initiatives and share instructional decision-making with teachers (Goodlad, 1984). Hallinger noted that throughout this period "Teachers [were] viewed as important sources of expertise, rather than the targets of others' efforts to improve schooling" (p. 40).

The following subsection, Second Wave Reform: Decentralization and Accountability, discusses A Nation Prepared: Teachers for the Twenty-first Century (Carnegie Forum on Education and Economy Task Force Report, 1986); Tomorrow's Teachers: A Report of the Holmes Group (Holmes Group, 1986); and local capacity building through Spillane and Thompson's (1997) study of local education agencies.

#### *Second Wave Reform: Decentralization and Accountability*

*Decentralization.* The second wave of reform efforts occurred in the mid 1980s and early 1990s and brought change through the decentralization of schools (Morrison, 2003). According to Lunenburg and Ornstein (1996), decentralization was defined as delegating power and sharing authority with various groups of stakeholders (e.g., teachers, staff, parents, and community members) and was the opposite of centralization.

Following the publication of A Nation at Risk (NCEE, 1983), a plethora of reports emerged offering solutions to the nation's educational dilemma. Two reports, A Nation Prepared (Carnegie Forum on Education and the Economy, Task Force on Teaching as a Profession, 1986) and Tomorrow's Teachers: A Report of the Holmes Group (Holmes Group, 1986) managed to " . . . capture the attention of educational leaders and policymakers throughout the nation" (Frasier, 1992, p. 7).

According to Frasier (1992), *A Nation Prepared and Tomorrow's Teachers: A Report of the Holmes Group* were similar in the changes they suggested. Those changes (outlined in the Carnegie Report, 1986) included: (a) creating a National Board for Professional Teaching Standards, (b) providing a professional environment for teaching, (c) introducing lead teachers, (d) requiring a bachelors degree in the arts and sciences, (e) developing a new curriculum in graduate schools of education, (f) preparing minority students for teaching careers, and (g) making teacher salaries competitive with those in other professions. These reports capitalized on shared principal and teacher leadership and noted that teachers were key factors in school improvement (Carnegie Task Force, 1986). The new reform efforts led to organizational changes including shared decision-making and accountability (Elmore, 1990).

Spillane and Thompson (1997) studied increased local capacity required by reform efforts. The purpose of the study was to examine local capacity in light of the increased accountability imposed on local educators by current reforms. The research questions were: "What are the components of capacity? and, How do they interact and evolve?" (p.187). The sample included the local education agency (LEA) that was comprised of individuals and groups who made curriculum policies at the district level. The qualitative study used data from a five-year study of policy and practice that examined the state policy system and the local government policy system affecting mathematics and science education. The data were taken from an 18-month investigation of instructional policy making in nine school districts. Specific data analysis procedures were not discussed.

Findings included that growth in one dimension (i.e., human capital, social capital, or financial resources) depended upon progress in the other dimension. For example,

human capital (administrators, teachers, or students) was dependent upon social capital (relationships among persons), and both were increased by financial resources (financial support, time, and staff). Human capital identified administrators and teachers as vital components in increasing capacity.

Spillane and Thompson (1997) noted that contemporary local change processes were more complicated than previous reform efforts. New reform efforts elevated the teaching standard, as explained by the authors,

. . . the teaching they envision requires deeper knowledge of subject matter, as well as pedagogical decision-making that is more complex and contingent on changing, unpredictable classroom situations than either traditional teaching or “direct instruction” methods. (p. 185)

School reform, therefore, was even more dependent on local capacity than in the past. Local capacity was viewed as the ability of the LEA to implement policy that cultivated rigorous instructional initiatives.

Spillane and Thompson (1997) found that those individuals implementing policies must view their work as teaching rather than as policy administration. This perspective was key in the success of long-term change throughout reform efforts. Districts successful in increasing local capacity embraced policy implementation that involved assisting teachers' thought processes in order to change instructional practices.

The ability of the LEA to advocate rigorous instruction was due to the capability to learn new ideas. All nine LEAs used a topical alignment approach while revisiting their policies. The approach required educators to examine the curriculum to determine if topics covered in class matched the state's science and mathematics standards. In six of the nine districts studied, however, LEA reform initiatives did not reflect core ideas from

the state and national standards. Excluding core principles and curriculum standards resulted in a lack of understanding of what students needed to know.

Substantial differences in LEA approaches to reform initiatives were found. The following question emerged: “How is it and why is it that some LEAs have made tremendous progress in developing and carrying out policies to promote a more challenging pedagogy for mathematics and science, while others have made significantly less?” (Spillane & Thompson, p. 188). The following conclusions were drawn from the case studies and offer information as to how and why some LEAs made more progress than others:

1. Knowledge and commitment were valued attributes.
2. Local educators utilized resources outside of the school district that also participated in instructional reform (e.g., National Council of Teachers of Mathematics, National Science Foundation, and Kellogg Foundation).
3. Districts devoted more time to understanding state policies and ideas from other professional sources.
4. Small, poor districts ambitiously implementing rigorous reform refuted the notion that funding was necessary for growth. (Spillane & Thompson, 1997)

Districts high in human (e.g., administrators, teachers, and students) and social (e.g., relationship building) capital became rich in the skills needed to teach challenging curriculum to the students (Spillane & Thompson, 1997). It was noted that "A district where trust and norms for collaboration on matters of professional substance are high is a good learning environment" (p. 199). This finding implied that improving relationships among administrators and teachers was necessary to increase instructional capacity.

Increasing capacity was an important factor in reform efforts, which in turn led to increased student outcomes.

The Carnegie Forum on Education and Economy Task Force (1986) Report, *A Nation Prepared: Teachers for the Twenty-first Century*, and *Tomorrow's Teachers: A Report of the Holmes Group* (Holmes Group, 1986) moved from criticizing education (e.g., *A Nation at Risk*) to suggesting solutions. One solution was that of an increased teacher role in instructional leadership.

The reports proposed that teachers share in decision-making and take leadership roles. This concept brought about increased responsibility for LEAs and the principal to build instructional capacity. *A Nation Prepared: Teachers for the Twenty-first Century* and *Tomorrow's Teachers: A Report of the Holmes Group* advocated a decentralized approach to school leadership. Spillane and Thompson's (1997) case study of LEAs found that human capital (i.e., principal and teachers) and creating positive relationships were vital elements in increasing capacity.

As decentralization increased, so did accountability. Improving student outcomes is the ultimate objective of all reform efforts (Fullan, 1991). Reform initiatives heighten the need for increased instructional capacity like never before. States began to administer assessments to increase accountability measures and determine student outcomes. The Kentucky Education Reform Act of 1990 (KERA) mandated increased school accountability and an assessment system that measured school progress. An examination of the history of KERA follows.

*Accountability.* “All children can learn at high levels, given adequate time, opportunity, and support” (Kentucky Department of Education, n.d.c). This belief, the



foundation for KERA, ushered in a new wave of education for Kentucky students and increased school accountability.

Kentucky schools were besieged with problems prior to KERA (Steffy, 1993). The problems included high dropout rates, low teacher pay, financial support of the education of each student below the national average, unequal property wealth in districts to support education, high unemployment, and low adult literacy rates (Steffy, 1993). The Kentucky Supreme Court opinion (*Rose v. Council for Better Education*, 1989) declared Kentucky's public school system unconstitutional, which led to the passage of House Bill 940, later known as KERA (Pankratz & Petrosko, 2000; Steffy, 1993).

Kentucky education reform, initiated by a lawsuit over school finance, was an exhaustive effort to reform public education (Pipho, 1990). Following the passage of House Bill 940, Governor Wallace Wilkinson established a six-member task force to create a new statewide school system (Pankratz & Petrosko, 2000). This task force established six goals: (a) expect a high level of achievement of all students; (b) develop student abilities in six cognitive areas; (c) increase school attendance; (d) reduce dropout and retention rates; (e) reduce physical and mental health barriers to learning; and (f) increase the proportion of students who make a successful transition to work, postsecondary education, and the military (Kentucky Department of Education, n.d.b).

Ten major programs and practices were recommended by the task force and assisted in the achievement of KERA goals. According to Pankratz, Lindle, & Petrosko (1996), these initiatives included:

1. Goals for schools of the Commonwealth that included high expectations with respect to the Learning Goals for all children,

2. System of student assessment and school accountability with rewards and sanctions,
3. Preschool programs,
4. Extended school services,
5. Family resource and youth service centers,
6. School-based decision-making and the creation of local school councils,
7. School-based professional development,
8. Re-organized Department of Education,
9. More equitable funding to all school districts, and
10. An Education Professional Standards Board.

Pankratz et al. (1996) and Petrosko and Lindle (2000) summarized the progress of several KERA initiatives. Many schools had not demonstrated high levels of implementation of multicultural education activities and did not have adequate funding to do so. White and Asian-American students performed above students of color in nearly every academic area at every grade level (Petrosko & Lindle, 2000). Social and cognitive development of children enrolled in preschool programs was much higher than children who did not attend preschool (Petrosko & Lindle, 2000). High school restructuring included roles of teachers, graduation requirements, and the organization of people and time (Pankratz et al., 1996).

Pankratz et al. (1996) found another effect of KERA to be the expansion of technology in schools across the Commonwealth. Another KERA initiative, the Extended School Service Program, had improved student confidence and helped them to pass courses to graduate. The Family Resource and Youth Service Centers assisted schools in

making progress in removing barriers to student learning. As KERA was brought into existence by a lawsuit over finance, the school finance reform had significant meaning.

Pankratz et al. reported that “the strong relationship between poverty and revenues for education in Kentucky was broken; the gap between richer and poorer districts was reduced by more than 50%” (p. 20). They reported positive effects of Kentucky’s

Primary Program: (a) improved student writing; (b) increased collaborative efforts among teachers; (c) higher math achievement; and (d) children remaining with the same teacher or group of teachers for more than one year.

School-Based Decision-Making (SBDM), another KERA initiative, was the venue through which schools exercised authority to plan and make policy that addressed student outcomes (Lindle, 2000). David (2000) indicated that principals faced the biggest challenge in the implementation of SBDM due to the task of leading and educating council members. Some principals, however, were relieved to share the responsibility of sole decision-making (Steffy, 1993).

A sweeping reform was implemented in response to the Kentucky Supreme Court opinion (*Rose v. Council for Better Education*, 1989) that declared Kentucky’s public school system unconstitutional. This led to the passage of House Bill 940, later known as KERA (Pankratz & Petrosko, 2000; Steffy, 1993). The Kentucky reform was holistic, as virtually every area of the education system was revised, and became a critical turning point in education across the Commonwealth. It has been viewed as one of the most comprehensive reform initiatives in the nation (Kentucky Department of Education, n.d.b). Unquestionably, increased school accountability elevated responsibility for school leaders.

The following subsection, Accountability and Student Outcomes, addresses the assessment and accountability component of KERA, the Commonwealth Accountability Testing System (CATS), as well as the federally mandated accountability system, No Child Left Behind (NCLB).

#### *Accountability and Student Outcomes*

As noted in Results Matter (Kentucky Department of Education, n.d.c), student outcomes are the measurement by which schools are held accountable:

And Kentucky's new system of public education recognizes that results matter—the single most important measure of a school's quality is how much students know and are able to do. (p. 9)

KERA mandated increased school accountability and required improved student outcomes. Pankratz and Petrosko (2000) stated, "... observers would credit the assessment and accountability systems with motivating educators to focus on improving learning for all children" (p. 272).

A standards-based accountability system outlined goals for every school and, more importantly, required that all students accomplish these goals. School success was measured by an accountability formula that included:

... a state-directed, continuous improvement goal, and every Kentucky student was included. A baseline was provided for each school, and success was outlined as reaching a predetermined improvement goal each biennium. (McDonald, 2001, p. 103)

In 1998 the Kentucky legislature replaced the testing system, Kentucky Instructional Results Information System (KIRIS), with the Commonwealth Accountability Testing System (CATS). CATS is the term used for the accountability system, and the actual test administered to students is the Kentucky Core Content Test (KCCT). The KCCT includes the California Test of Basic Skills (CTBS/5), assessed writing portfolios, open-ended response items, multiple choice questions, and also other

indicators of school performance (Kentucky Department of Education, 2002). The multiple testing methods allows students to display a greater range of abilities.

Kentucky standards define what children must know for the KCCT. The standards (i.e., Kentucky Learning Goals, Academic Expectations, Program of Studies, Core Content for Assessment) are the basis for the KCCT. All schools are required to implement these standards as minimum curriculum requirements.

CATS followed similar guidelines as KIRIS, as a long-term accountability formula is in place for all schools. Intermediate targets are set biennially, or every two years beginning in 2002. Characteristics of the long-term accountability model in CATS are: ". . . (a) an index, (b) comparisons or a measure of growth between successive groups, (c) criteria that are applicable to the whole school, and (d) differential weighting of indicators" (Kentucky Department of Education, 2002, p. 23). CATS was designed to measure school progress toward the same goal—proficiency.

The assessment guidelines (Kentucky Department of Education, 2002) describe the measurement process for proficiency, which is defined as a score of 100 on a 140-point scale. A chart was created with a line connecting where the school was in 1999-2000 to a score of 100 in 2014. Schools are eligible for financial rewards if the score is at or above the line.

A second line was drawn at a score of 80. If the school index was between the two lines, the school was eligible for smaller rewards. Schools in which scores remained the same or declined received no rewards. Schools with an index below the line were considered in state assistance and audited to determine the degree of financial and

professional help needed. The Kentucky accountability system is high stakes. Every school must prove that all children can learn, the underlying belief of KERA.

Improved student outcomes were the desired result for reform efforts (Lindle, 2000; Lusi, 1997; Smith & O'Day, 1990), and KERA was no different. It includes high standards for student outcomes and holds schools accountable for meeting them (Lusi, 1997). An accountability formula is assigned in which all schools are to reach an accountability index of at least 100 by 2014 (Kentucky Department of Education, n.d.a).

Following eleven years of rigorous reform implementation of the high-stakes accountability system, the 2002 passage of the No Child Left Behind Act of 2001 (NCLB) requires accountability in other areas as mandated by federal guidelines. NCLB requires schools to analyze achievement data, identify gaps, and find ways to address those gaps. The next subsection reviews the implications of NCLB.

*No Child Left Behind.* The NCLB was " . . . a landmark in education reform designed to improve student achievement and change the culture of America's schools" (United States Department of Education, 2003, p. 3). Through the passage of NCLB, Congress amended the Elementary and Secondary Education Act (ESEA), which was the existing federal law that guided kindergarten through high school education. The amendment of ESEA was comprised of four cornerstones: " . . . accountability for results, an emphasis on doing what works based on scientific research, expanded parental options, and expanded local control and flexibility" (p. 3).

For the purpose of this review, the NCLB accountability component is examined. The NCLB law requires that all children meet the goal of proficiency as defined by each state. This goal is to be met by the 2013 and 2014 school years. Every state is to

“ . . . develop benchmarks to measure progress and make sure every child is learning”

(p. 3). States are required to analyze data and identify subpopulations (i.e., students with disabilities, students participating in free and reduced lunch programs, and students with limited language proficiency) so that all students will achieve and no child will be left behind.

A school or district that does not meet the state defined standards for proficiency, or what is known as adequate yearly progress (AYP), for two straight years is considered to be in need of improvement. This includes a schoolwide measure of progress or progress in any major subpopulation. More specifically, schools meeting AYP will have:

1. Met annual measurable objectives in reading and mathematics,
2. Shown progress on the academic index at the elementary and middle school levels,
3. Demonstrated progress toward 100% graduation rate at the high school level, and
4. Tested at least 95% of enrolled students and subpopulations of sufficient size.

(Kentucky Department of Education, 2002)

With the implementation of KERA, Kentucky had an assessment and accountability system in place and is now required to implement the accountability process mandated by NCLB as well. Kentucky's response to NCLB was the passage of Senate Bill 168 in 2002 making Kentucky education a dual accountability system. Schools are accountable to reach proficiency, as defined by the CATS system, and also are accountable to achieve AYP as part of the NCLB system.

Kentucky schools are to reach Proficiency by 2014, as defined by CATS.

Kentucky students also are required to reach Proficiency as defined by NCLB. Never before have this state's educators had such responsibility for improved student outcomes. The stakes are high, as both accountability systems included measures for assistance. As a part of accountability guidelines, both the principal and teachers can be replaced if there are subsequent failures to meet goals. The principal and teachers have a collective responsibility for improved student outcomes. The principal needs the teachers, and the teachers need the principal to improve student outcomes and meet accountability goals.

Due to increased accountability from reform efforts, the principal and teacher cannot reach accountability goals alone. It is imperative for a two-way flow of influence to exist between the principal and teacher to build instructional capacity and improve student outcomes. The next subsection focuses on the principal role and accountability.

*Accountability and the principal.* School reform initiatives required systemic change at the state and local levels. It is imperative, however, that real change be present at the school level for the quality of education to improve and result in improved student outcomes (Kentucky Department of Education, n.d.c). School leadership is key for change and improvement. Without question, principals are essential to reform efforts, as they “ . . . keep everyone's eyes on the prize of improved student learning” (Schmoker 1999, p. 111).

The principal's effect on student outcomes has been proven to be indirect, thus making instructional capacity more significant. The next subsection establishes that finding through research by Cheng (1994); Bulach and Lunenberg (1995); Hallinger and



Heck (1996); Heck, Larsen, and Marcoulides (1990); and Johnson, Livingston, Schwartz, and Slate (2000). An examination of a study conducted by Cheng (1994) follows.

Cheng (1994) investigated principal leadership. The purpose of the study was to examine leadership in relation to school performance indicators such as student performances, organizational characteristics, and teacher group-level and individual-level performances. The research question was: How is principal leadership, particularly in terms of the structural leadership, human leadership, political leadership, symbolic leadership, and educational leadership related to school performance in terms of the organizational level indicators, teacher-level indicators, and student-level indicators? (Cheng, 1994).

The study design was a correlational research design. The sample (taken from the research project, Education Quality in Hong Kong Primary Schools) included primary schools supported by the Hong Kong government. The average number of students in each school was 825. The average number of teachers in each school was 27, with an average of 15 years teaching experience.

Two models were integrated, those of Sergiovanni (as cited in Cheng, 1994) and Bolman and Deal (as cited by Cheng, 1994). Sergiovanni's five leadership forces (i.e., technical leadership, human leadership, educational leadership, symbolic leadership, and cultural leadership) model explained how principal leadership was connected to student outcomes. The leadership forces that Bolman and Deal used were structural leadership, human resource leadership, political leadership, and symbolic leadership as leadership characteristics. The two models described principal leadership by five dimensions: structural leadership, human leadership, political leadership, symbolic leadership, and

educational leadership. Cheng (1994) used organization-level indicators, teacher-level indicators, and student-level indicators to conceptualize school performance.

This review focused on the correlation of principal leadership with the student level indicators. The coefficients of Pearson correlation showed a relationship between principal leadership and some of the measures of student performance. The dimensions of principal leadership were connected to student attitude toward their school at the 0.01 significance level, with coefficients larger than 0.22. The stronger the dimensions of leadership (i.e., human, structural, political, symbolic, and education), the higher the student commitment. A comparison of a strong and a weak leadership group revealed differences in student attitudes toward learning. The differences reached the 0.05 significance level, with  $t$  absolute values larger than 2.2 in the  $t$ -test.

Findings included that the students in the strong leadership schools displayed positive performances such as attitudes toward teachers, peers, learning, and self-concept. In contrast, students in the weak leadership schools had negative performances. A correlation was found with student performance. The student-level indicators included (a) student self-concept; (b) attitudes toward peers, teachers, the school, and learning; (c) perception of homework overload; and (d) dropout intention. Strong principal leadership correlated to positive performances in these areas. The areas were attitudinal and therefore indicated an indirect effect on student outcomes.

Heck, Larsen, and Marcoulides (1990) examined the principal's effect on student achievement. The purpose of the study was “. . . to test a theoretical causal model concerning how elementary and secondary school principals can influence school student achievement through the frequency of implementation of certain instructional leadership

behaviors” (p. 94). They hypothesized that three latent variables related to instructional leadership (school governance, instructional organization, school climate-all dependent variables) and effected student achievement (the independent variable). The study design was causal comparative.

The sample consisted of 56 schools, California public elementary and high schools, with scores above or below the California Assessment Program (CAP) at both grades 3 and 6 and also grades 12 in reading and math for three consecutive years. A total of 388 subjects (332 teachers and 56 principals) were part of the sample. A questionnaire comprised of variables measuring the implementation of 34 instructional leadership behaviors of the principal was used for data collection. The questionnaires were mailed to principals with instructions to give the questionnaire to a random sample of six teachers. A computer program, LISREL (as cited in Heck, Larsen, & Marcoulides, 1990) was used to generate estimates of parameters of the model. The coefficients of determination for the measurement model were 0.88 at the individual level and 0.91 for the school level. This indicated that the observed variables served as instruments for measuring the latent variables.

The major findings of the Heck, Larsen, and Marcoulides (1990) study indicated that school climate and school instructional organization were important indicators of principal instructional leadership. The principal's role in creating strong climate and instructional organization was the area that predicted school achievement in this model. Principals were able to effect student outcomes through the climate and organization of instruction, which indicated an indirect effect. The effect was not obtained through direct

principal and student relationship or interaction, but indirectly through other leadership behaviors.

Heck, Larsen, and Marcoulides (1990) also found that principals in high-achieving schools were very different than those in low achieving schools. Principals in high-achieving schools relied on teacher input, particularly in instructional decisions, while principals in low-achieving schools tended to "leave teachers alone to teach" (p. 118).

Heck, Larsen, and Marcoulides (1990), along with Cheng (1994), found that principal behavior and roles were indirectly related to student outcomes. In conjunction with those findings, Johnson, Livingston, Schwartz, and Slate (2000) examined the characteristics of an effective school, which included the role of the principal.

Johnson, Livingston, Schwartz, and Slate (2000) reviewed research studies and identified characteristics of an effective school. The purpose of the review was " . . . to explore the different views that persons have regarding the characteristics of effective schools" (p. 339). An extensive search was conducted in textbooks, ERIC documents, and journal articles to select the studies.

The opinions and perceptions of teachers, parents, and administrators regarding effective schools were examined. Pertinent to this review was the examination of the role of the principal. Johnson, Livingston, Schwartz, and Slate (2000) reported that Hallinger and Heck (1996) examined research conducted from 1980 through 1995 on the relationship between the principal and school effectiveness.

They found that the most empirically robust models confirmed that principal leadership could be related to improved student outcomes through principal influence on

internal school processes. This finding indicated that the principal had an indirect effect on student outcomes. In addition, when principals shared leadership with teachers, they had an indirect effect on student achievement.

Johnson, Livingston, Schwartz, and Slate (2000) found evidence from research studies to support the theory that effective schools have effective leaders. The effects were indirect through internal school processes. This indirect effect was in agreement with the findings from Cheng (1994) and Heck, Larsen, and Marcoulides (1990). To further substantiate the indirect effect of the principal on student outcomes were findings from a study conducted by Bulach and Lunenberg (1995).

The purpose of their study was to examine the influence of principal leadership style on climate and student achievement. They hypothesized that there would be no significant difference in leadership style and school climate scores. It was further hypothesized that there would be no significant difference in leadership style and student achievement scores. The study design was a quasi-experimental design.

The sample was comprised of elementary students ( $n = 2,834$ ), teachers ( $n = 506$ ), and principals ( $n = 506$ ) in 20 Kentucky elementary schools. The school sample was non-random but was distributed among urban, suburban, and rural areas and included a variety of socioeconomic levels. School populations ranged from 93 to more than 700 students. The sample of educators included diversity in age, race, gender, experience, and education level. The student sample was diverse in age, ethnicity, gender, and socioeconomic level.

The measurement instruments were used in previous research studies and defined leadership style and school climate. The Leadership Behavioral Matrix (as cited in

Bulach & Lunenberg, 1995) defined leadership style, in addition to the Tennessee School Climate Inventory (as cited in Bulach & Lunenberg, 1995), and the Group Openness and Trust Scale (as cited in Bulach & Lunenberg) operationally defined school climate. Student achievement (i.e., student outcomes) was operationally defined as the Normal Curve Equivalent (NCE) scores for a school building on the California Test of Basic Skills (CTBS). School achievement scores were obtained from the CTBS results.

The Leadership Behavioral Matrix (LBM) was used to measure the leadership style of principals. The 26-item, Likert-type scale measured behavior patterns representing four quadrants: promoter, supporter, controller, and analyzer. The overall test-retest reliability for the LBM was .86. Validity of the LBM was supported by individual scores correlated with behavioral ratings made by colleagues.

The Tennessee School Climate Inventory (TSCI) and the Group Openness and Trust Scale (GOTS) were used to measure school climate. The TSCI contained 49 Likert-type scale items that were assigned to seven subtests delineated by factor-analytic methods: order, leadership, environment, involvement, instruction, expectations, and collaboration. Internal consistency of the TSCI was estimated by Cronbach's alpha, with an average correlation of .80, which was significant beyond the .01 level. The GOTS consisted of 25 Likert-type scale items that used two factors (i.e., trust and openness) outlined through factor-analytic methods. The validity of GOTS was reported as alpha coefficients of .91 for the total scale.

Bulach and Lunenberg (1995) reported there were no statistically significant differences found in school climate as a result of principal leadership styles,  $F = 2.28$ ,

$p > .05$ . The null hypothesis was supported. Analyses of variance were computed on each of the nine subscales and leadership style. The only subscale that had a significant  $F$  ratio was the involvement subscale. With a value of 5.556, it was significant at the .008 level. Involvement was defined as the extent to which parents and community members were involved in the school.

School climate or student outcomes do not depend on leadership style. The findings were relevant to this review as they proved that the principal had no direct effect on student outcomes. The lone statistically significant finding was the effect of principal leadership style on parent and community involvement in the school. This could have an indirect effect on student outcomes, as higher parental involvement and community support may be related to improved student outcomes.

Hallinger and Heck (1996) reviewed 40 studies on the principal's role in school effectiveness throughout a 15-year period from 1980 to 1995. The purpose of the review was to study the role and impact of the principal. Three criteria guided the selection of studies: (a) principal leadership must have been one of the independent variables, indicating that the study was designed to examine principal leadership behavior; (b) the dependent variable had to include a measure of school performance, indicating principal effect on student outcomes; and (c) an effort was made to review studies that were conducted outside of the United States. Only 11 of the 40 selected studies were conducted in countries other than the United States.

Both qualitative and quantitative studies were selected, although most were quantitative. Other methodological approaches used were cross-sectional, correlation designs and surveys or interviews for data collection purposes. The Pitner model (as cited

in Hallinger & Heck, 1996) was used for categorizing the principal leadership studies. The categories included " . . . direct effects, antecedent-effects, mediated-effects, reciprocal-effects, and moderated-effects models" (p. 17).

For the purpose of this review, the findings from the "mediated effects with antecedent variable" (Hallinger & Heck, 1996, p. 26) were discussed. These studies investigated the principal role in school effectiveness noting interactions within the school organization. Data indicated a " . . . statistically significant effect of principal leadership on school processes and, at least, indirectly on school achievement" (p. 27).

Particularly relevant to this study, Hallinger and Heck (1996) concluded that "Robust conceptualizations of principal leadership suggest that the effects of principal leadership will occur indirectly through the principal's efforts to influence those who come into more frequent direct contact with students" (p. 24). The principal's ability to articulate school goals and share information evidenced that the principal directly effected teachers who had direct interaction with students. This finding supported data from the previous studies in this subsection that principal effect on student outcomes was indirect. This indirect effect, according to Hallinger and Heck, was the "essence of leadership" (p. 39).

#### *Summary of School Reform and Accountability*

The first subsection, First Wave Reform: National Focus on Education, provides a brief history of educational reform and accountability efforts. Within this historical context, the need for principals to increase instructional capacity is evident due to the reform emphasis on accountability. A Nation at Risk (NCEE, 1983) confirmed the belief



that education must improve and, therefore, became foundational in subsequent reform efforts.

The second subsection, Second Wave Reform: Decentralization and Accountability, reviews reform efforts that occurred in the mid 1980s and early 1990s and brought change through the decentralization of schools and increased accountability. *A Nation Prepared: Teachers for the Twenty-first Century* and *Tomorrow's Teachers: A Report of the Holmes Group* advocated a decentralized approach to school leadership. Spillane and Thompson's (1997) case study of local education agencies found that human capital (i.e., principal and teachers) and creating positive relationships were critical in increasing capacity, which validates the decentralized approach to leadership.

Along with decentralization came the need for accountability. School governance and leadership became entrusted to those at the local level; therefore, accountability measures increased to evaluate progress of the leadership shift. Accountability is a component of KERA. This act was passed in accordance with the Kentucky Supreme Court opinion (*Rose v. Council for Better Education*, 1989) that declared Kentucky's public school system unconstitutional. The reform act includes high standards for student outcomes and holds schools accountable for meeting them. School accountability increases responsibility for school leaders immensely.

Accountability also includes the No Child Left Behind Act of 2001. States are required to analyze data and identify subpopulations and then set standards for proficiency or AYP. A school or district that does not meet the AYP for two straight years is considered to be in need of improvement. School and student accountability are at a monumental level. Due to increased accountability through reform efforts, principals

are being forced (if not by choice) to relate to teachers in collaborative ways. The principal and teacher cannot reach accountability goals alone.

The impetus for reform efforts is accountability; consequently, the third subsection, Accountability and the Principal, examined principal effect on student outcomes. Findings from Cheng, (1994); Bulach and Lunenberg, (1995); Hallinger and Heck, (1996); Heck, Larsen, and Marcoulides, (1990); and Johnson, Livingston, Schwartz, and Slate, (2000) confirmed the indirect effect of the principal on student outcomes. As principals effect student outcomes indirectly, the need to work collaboratively with others is heightened.

Cheng (1994) examined leadership in relation to student performances, organizational characteristics, and teacher group-level and individual-level performances. The student-level indicators included (a) student self-concept; (b) attitudes toward peers, teachers, the school, and learning; (c) perception of homework overload; and (d) dropout intention. Strong principal leadership correlated to positive performances in these areas. The areas were attitudinal and, therefore, indicated an indirect effect on student outcomes.

Another study that confirmed the principal's indirect effect on student outcomes was that of Heck, Larsen, and Marcoulides (1990). The causal comparative study found that school climate and school instructional organization were important indicators of principal instructional leadership. Principals influenced student outcomes through the climate and organization of instruction, which implied an indirect effect. Johnson, Livingston, Schwartz, and Slate (2000) reviewed research studies and identified characteristics of an effective school. They found that the most empirically robust models

suggested that principal leadership could be related to improved student outcomes through principal influence on internal school processes.

Also, reporting findings related to the indirect effect of the principal on student outcomes were Bulach and Lunenberg (1995). They examined the influence of principal leadership style on climate and student achievement. The results from the quasi-experimental design found that school climate or student outcomes did not depend on leadership style. The effect of principal leadership style on parent and community involvement in the school was significant. The findings supported the theory that the principal had no direct effect on student outcomes. Hallinger and Heck (1996) reviewed 40 studies on the principal's role in school effectiveness throughout a 15-year period from 1980 to 1995. Findings validated the principal's indirect effect on student outcomes.

Results from these five research studies are confirmation that the principal indirectly effected student outcomes through internal school processes directly linked to student achievement (i.e., school policies and norms). The next section traces the principal's role from managerial leader, to instructional leader, to a leader who increases instructional capacity.

### The Evolving Role of the Principal

This section traces the role of the principal from manager, to instructional leader, to a role that increases instructional capacity. Hallinger (1992) summarized the shift in the principal role, and Cascadden's (1998) case study added empirical support for that role shift. The next subsection, The Principal's Role in Increasing Instructional Capacity, provides evidence for the principal's role as one of building instructional capacity. Included in the subsection are studies by Leithwood and Jantzi (1990); Reavis, Vinson,

and Fox (1999); McLaughlin and Hyle (2001); Williams (2000); Leithwood and Montgomery (1982); Hallinger (1992); and Fullan (2002). They describe the principal's most current role and substantiate that the principal relates to teachers through collaborative ways. The section begins with a summary of Hallinger's review of the shift in the principal role.

Hallinger (1992) summarized the growth and change of the principalship by examining the principal as program manager, instructional leader, and transformational leader. The most prevalent role from the 1920s until the 1960s was that of administrative manager. A national trend of consolidation, corporate management, and the political nature of public education moved the principal away from instruction. During the 1960s and 1970s, principals became responsible for managing compensatory education, bilingual education, special education, and other federal programs that necessitated direction from the site administrator.

Edmonds (as cited in Hallinger, 2000) stated that schools with strong administrators displayed instructional strengths, which supported the call for principals to become more active as instructional leaders with an increased focus on student outcomes. By the mid-1980s, states focused on the improvement of the principal as instructional leader. The principal was expected to possess curricular knowledge and to help teachers improve their instruction. Principals were recognized as key to change in high performing schools.

The instructional leadership literature of the 1980s noted importance of the principal in curriculum and instruction. Hallinger (1992) referred to Sergiovanni's notion (as cited in Hallinger, 1992) that the term "instructional leader" suggested there must be

followers, and true instructional leaders ought to be teachers. Principals, according to Sergiovanni (as cited in Hallinger, 1992), ought to be “ . . . leaders of leaders: people who develop[ed] the instructional leadership in their teachers ” (p. 41).

The school-restructuring literature identified the need for problem assessment and setting priorities by the staff and community. The principal role had undergone a shift, one from the sole instructional leader to one that called for interaction with teachers. Mandates from authority figures did not need to be reasons for school direction. The principal must include teachers in problem solving. Decisions that were previously made alone must now include input from various stakeholders, particularly teachers. Principals must relate collaboratively with teachers.

Hallinger (1992) noted that more changes in practice were occurring during school restructuring than during the previous decade. Parent and teacher expectations of the principal changed. The principal's role was defined as being “... ever more visible and less buffered from the expectations of stakeholders (e.g. teachers, parents, non-certified staff)” (p. 45). The reforms of the early 1980s did not achieve the desired results for students. Many schools found ways to merge the strong leader image with a collaborative style leadership, as found in school restructuring efforts.

Hallinger (1992) predicted that schools would continue to respond to changing expectations and reduce traditional methods of leadership. The role of the principal evolved from managerial to instructional leader to a leader who engaged staff to “ . . . thoughtfully examine current practice and make informed choices as to directions for the development of new practice” (p. 46). The principal's role had evolved to that of

increasing instructional capacity. In the next study, Cascadden (1998) provides empirical support for the manager to leader shift.

The purpose of the study was to explore how principals described their work in relation to leadership and management. Three questions guided the study:

1. What conceptions do the principals have regarding the constructs of leadership and management?
  2. What do the principals believe about the role of their personal philosophies? and
  3. What language (e.g., metaphors, word pictures, and descriptions) do the principals use to describe themselves, their work, and their schools?
- (Cascadden, 1998, p. 143).

The study design was qualitative in nature. These areas framed the study:

- (a) investigating principal perceptions about leadership and management;
- (b) investigating principal beliefs about personal philosophies, goals, or values in relation to their practice; and (c) exploring the language that principals used to describe their work, schools, and themselves.

The participants were elementary school principals from Virginia. A sample of eight principals was obtained by seeking nominations of outstanding principals from superintendents and professors. Selection criteria included (a) nomination by a superintendent or professor, (b) three years experience, and (c) agreement to become a participant in the study.

Cascadden (1998) collected data from semi-structured interviews. From these inductive research procedures, themes and issues were generated and compared with literature on leadership, management, and the principalship. Four themes emerged: "... (a) role conflicts, (b) being there, (c) growing from managers to leaders, and (d) culture and distributed decision-making" (p. 137). Pertinent to this study are the results from the manager to leader theme. Principals described the evolution as "... trying to lead in a system that was historically set up for management" (p. 158). Principals and teachers were accustomed to following directives from district level leaders. Leadership responsibility had now moved to those at the school level.

Cascadden (1998) stated that "Some participants described an evolution, both systemic and personal, from more manager-oriented to more leadership-oriented functioning" (p. 150). School leaders best served schools by shared leadership, which established that the role of the principal evolved from manager to instructional leader, to one who relates collaboratively with others.

This study provided support for Hallinger's review of the principal role, in that the principal role has evolved from one who acted alone (i.e., manager and instructional leader) to one who related to teachers in collaborative ways. The next subsection, *The Principal's Role in Increasing Instructional Capacity*, gave evidence for the principal's role as one of building instructional capacity.

#### *The Principal's Role in Increasing Instructional Capacity*

Leithwood and Jantzi (1990) examined principal practices in 12 schools with a collaborative culture that developed throughout a three-year school improvement initiative. The purpose of the study was to investigate how collaborative school cultures

developed during reform efforts and how principals facilitated that process. Three research questions guided the study: (a) To what extent did schools achieve collaborative teacher cultures? (b) How did the pursuit of larger goals result in developing more collaborative teacher cultures? and (c) What strategies were used by school administrators to develop more collaborative school cultures? The study design was exploratory and qualitative in nature.

Six schools were selected from a larger project on school improvement sponsored by Ontario's Ministry of Education. In addition, six schools involved in improvement efforts were selected but were not related to the Ministry project. Six questionnaires regarding change were sent to the eleven elementary schools and seven to the five secondary schools. The questionnaire return rate was 94%. The sample consisted of nine elementary and three secondary schools, all from southern Ontario.

A total of 133 interviews were conducted with principals during a two-day visit to each school. Two interviewers collected data using two versions of a semi-structured instrument intended to distinguish key elements in the change process. Little's (1982) six indicators of collaboration were used to assess the extent to which collaboration had been achieved. Those indicators were (a) teacher talk about teaching practices; (b) teacher observations; (c) teacher planning, designing, and evaluating teaching materials together; and (d) teachers teaching each other the practice of teaching.

Teams analyzed data from two schools, which included 23 interview results. Individual matrices were constructed for each respondent and used to create school matrices. To ensure reliability, the researchers met with the teams twice weekly to ensure



consistency. An average of approximately 70% of teachers stated that a collaborative relationship existed with the principal.

The results indicated that principals used six strategies to influence the culture of their schools and to increase collaboration. These strategies included:

. . . strengthening the culture, using bureaucratic mechanisms, fostering staff development, frequent and direct communication, sharing power and responsibility, and using rituals and symbols to express cultural values.  
(Leithwood & Jantzi, 1990, p. 274)

The first strategy, strengthening the culture, increased opportunities for teacher collaboration (i.e., teachers observing in another's classroom, providing opportunities for professional development, having staff retreats, and providing for common planning time). The second strategy, bureaucratic mechanisms, included principal management of financial support, scheduling, and evaluation. Another strategy, staff development, provided opportunities for teachers to increase skills and knowledge.

The fourth strategy, communication, proved to be an important strategy for principals. Principals used words such as " . . . informing, persuading, directing, writing, negotiating, counseling, visiting, and discussing to indicate the prevalence of this strategy . . . (Leithwood & Jantzi, 1990, p. 274). Another strategy, shared power, was described as principals " . . . at least delegating, if not giving away, sources of power traditionally vested in their positions . . . " (p. 274). The final strategy included principals recognizing the work of teachers and students that contributed to improving student outcomes, resulting in a more collaborative culture.

The principal role had evolved to a leader who employed strategies (i.e., strengthening the culture, staff development, bureaucratic mechanisms, communication, shared power, and peer review) to increase instructional capacity to improve student

outcomes. School improvement and collaborative efforts were seen as a venue for problem solving. Understanding the larger context within a collaborative culture created an understanding of the role of the principal.

Reavis, Vinson, and Fox (1999) also studied principal strategies as reported in the next study. The purpose of the study was to investigate the role of the principal in the school culture through a case study. The school was a low-performing school with 257 students with 80% ethnicity and a new principal recently in place. Data were collected through (a) open-ended teacher questionnaires; (b) school document analysis; (c) observations of student and teacher advisory group meetings; (d) shadowing of the principal; and (e) principal, assistant principal, and superintendent interviews. Data were analyzed through constant comparative analysis.

Reavis, Vinson, and Fox (1999) reported findings as these themes: (a) heroes and heroines, (b) rites and rituals, (c) stories, (d) governance and leadership, and (e) symbols. The findings revealed that the principal was democratic in interactions with teachers and students. Several meetings were held with teachers and students, and these meetings began with the principal asking for suggestions. Decision-making and accepting leadership for those decisions became a regular and expected role of teachers as well as the principal. Teachers led the professional development activities and learned how to troubleshoot computer problems and assisted colleagues in computer applications.

At the end of the principal's first year, 87% of the sophomores passed the achievement test mandated by the state, in contrast to 38% the previous year. By the end of the second year, 93% of the sophomores had passed the state-mandated test. The quantified student outcomes indicated positive change within the school.

The results established the principal as a collaborator between teacher and students. An environment in which each person's opinion was valued and open communication was present contributed to improved student outcomes. The next study continues to provide support for the principal as a collaborator.

McLaughlin and Hyle (2001) investigated the role of the principal when implementing a particular change. The central research question was: "How [did] the principal successfully facilitate the change process among faculty members?" (p. 7).

The study design was a single-site case study. The site was an elementary school located in an upper middle class, urban school district. Data were gathered from (a) interviews with the principal, faculty, and staff; (b) observation of the principal at faculty and grade-level meetings; and (c) a review of documents (i.e., teacher memoranda, faculty agenda, and school handbook). The data were checked by a cross checking with data collected from a second interview of faculty and staff. The data were analyzed through a framework created from the work of (a) the Southwest Educational Development Laboratory (SEDL; as cited in McLaughlin & Hyle, 2001); (b) Schon (as cited in McLaughlin & Hyle, 2001); and (c) Fullan (as cited in McLaughlin & Hyle, 2001).

After processing and coding the data, two main categories emerged. The first category included summaries of successful change efforts. The second category included individual and principal roles along with factors that contributed to successful change. In the final analysis four findings were reported:

1. The principal was the key change agent in the change process.
2. The principal created a context for change.

3. No one change was identified, and the principal did not acknowledge varying levels of individual teacher concern.
4. The characteristics of reflective practice were less evident than the practice of interacting with teachers. (McLaughlin & Hyle, 2001, p. 34)

McLaughlin and Hyle (2001) noted that teachers and staff concurred that the environment was that of encouragement and shared decision-making. They stated that “. . . the principal must model his/her expectations through frequent and open communication and information-sharing, while frequently conveying expectations of mutual respect and collaboration for all involved” (p. 35). They recommended that further studies could investigate how principals managed change through reflective practice since the structure of the school day does not encourage collaborative efforts. These findings established that the role of the principal changed from a managerial role to a more relational role, one that increased capacity through communication and respect. The next study by Williams (2000) provides more information about the principal role.

Williams (2000) purposed to “. . . compare teachers’ perceptions of principal effectiveness in secondary schools nominated for the National Secondary School Recognition Program and a randomly selected sample of schools not nominated for the National Secondary School Recognition Program in Tennessee” (p. 264). The central question was: Do teachers in secondary schools in Tennessee hold similar or different perceptions regarding principal effectiveness than teachers in schools nominated for the National Secondary School Recognition Program in Tennessee?

This study was a causal-comparative design with organizational development, organizational environment, and educational program as independent variables and

teacher perspectives of effective principals as the dependent variable. The population included schools selected from information supplied by the Tennessee Department of Education. The population ( $N = 51$ ) was comprised of secondary schools with grades 9 to 12, an enrollment of 1000 or more students, and that were not nominated for the National Secondary School Program in Tennessee (TNSSSP). The TNSSSP record was used to identify schools with an enrollment of 1000 or more in grades 9 through 12 ( $N = 22$ ).

The sample included 20 randomly selected secondary schools not chosen for TNSSRP and 20 randomly selected secondary schools that were chosen for the TNSSRP. Listing the schools in alphabetical order and then assigning each school a number identified the sample. Numbers were drawn from a table of random numbers that resulted in the school selection. The sample included 14 TNSSSP nominated secondary schools and 12 schools not nominated for the TNSSSP. The teacher population for the schools not chosen for TNSSRP was 1,288; likewise, the teacher population for TNSSRP nominated schools was 1,221.

Data analysis included the distribution of the questionnaire, Audit of Principal Effectiveness (AOPE), which described teacher perceptions of principal effectiveness. The 80 items focused on the role of the principal and included a response rating of 1 (not effective) and 9 (very effective). The three domains that evolved from the 80 items (i.e., organizational development, organizational environment, and educational programs) had a coefficient alpha reliability rate of 0.92, 0.94, and 0.97, respectively. To test for group differences, the t-test for independent samples was used. A high score implied a positive view of principal effectiveness and visa versa.

The findings revealed that principals in secondary schools chosen for the TNSSRP scored significantly higher in organizational development, organizational directions, and organizational procedure than principals of randomly selected secondary schools not chosen in the area of organizational development. Organizational linkage, organizational environment, teacher relations, and interactive process scores showed no significant difference between principals in secondary schools chosen for the TNSSRP and principals of randomly selected secondary schools. Scores of principals in TNSSRP-nominated secondary schools were significantly higher in student relationships, affective processes, and educational programs than the scores of principals from randomly selected schools. Instructional improvement and curriculum improvement scores of principals chosen for the TNSSRP were significantly higher than scores of principals of randomly selected secondary schools.

Williams (2000) reported that the goal of the Secondary School Recognition Program was to recognize exemplary schools. It was not surprising, therefore, that principals of TNSSRP nominated schools were perceived as setting lofty goals and holding high expectations. Principals scoring higher in organizational development displayed abilities to work with teachers and established relationships that promoted growth. The findings from the next study add support to the principal role as collaborator and relationship builder.

Leithwood and Montgomery (1982) searched for ways that principals improved the effectiveness of their schools. The purpose of the study was to “. . . assess the status of knowledge about effective and ineffective principal behaviors” (p. 309). The research questions were: "(a) What cognitive frameworks do principals use in thinking about their

roles?; (b) What language do principals use to describe their own professional activities and problems?; and (c) How can principal behavior be classified so that subsequent descriptions will be meaningful to principals as well as focused on critical aspects of their behavior?" (p. 313).

The study design was qualitative, as content analysis was used to derive data from research on educational change. Various sources of information were used to locate studies including library indexes, library card catalogue, journal titles, Dissertation Abstracts, and the ERIC system. A study had to meet two criteria to be included: (a) it had to have empirical data relating to one or more of the research questions, and (b) the methodology had to be clearly stated. Three categories of studies were reviewed: (a) the role of the principal, (b) school change, and (c) school effectiveness.

To determine how to summarize and classify the studies for selection, an initial study was conducted. Twenty-three principal interviews were conducted using audiotapes to record the data. The interview data were transcribed onto file cards and sorted into clusters. Using a grounded theory approach, three major categories emerged and were used for reporting results: (a) goals of the effective principal, (b) factors affecting student classroom and school-wide experiences, and (c) categories of strategies used by principals.

Thirty-nine studies (i.e., 17 surveys, 15 case studies 2 combined survey and case study designs, 2 ethnographies, 2 pre-experiments, and 1 conference paper) met the criteria. Using the dimensions found in the original study (i.e., goals, factors, strategies), effective principal behavior was described. Findings pertinent to this review were that principals distinguished the establishment of interpersonal relationships as an important

strategy for influencing classroom and school factors. Although one principal goal was found to be task oriented, it did not take the place of relating collaboratively to teachers. Lorrzeau (as cited in Leithwood & Montgomery, 1982) stated that "data suggested that the effective principal worked toward balanced attention to instructional leadership, routine administration, and human relations" (p. 321).

Leithwood and Montgomery's (1982) examination of literature provided evidence for the principal role as collaborator and relationship builder. In the next study, Fullan (2002) noted that the principal was more than that of instructional leader. He stressed the role of the principal as a developer of teacher skills and leadership capabilities.

Fullan (2002), in a narrative summary, reviewed the role of the principal and identified instructional leadership as a quality that could improve student outcomes. To move students into more rigorous and challenging curriculum, he stated that teachers must be motivated, inspired, and exposed to professional development opportunities. The working conditions and the morale of teachers must be improved.

Five essential components that leaders must possess were listed: "moral purpose, an understanding of the change process, the ability to improve relationships, knowledge creation and sharing, and coherence making" (Fullan, 2002, p. 16). Moral understanding was defined as the obligation to care about other schools and students as well as one's own. An understanding of the change process was described as providing opportunities for teachers to seek out new instructional strategies and implement them within the school year.

The most important component was that of improving relationships. Fullan (2002) stated "If relationships improve, schools get better. If relationships remain the same or get



worse, ground is lost" (p. 18). This meant sustained improvement for several years, not just improvement for one year. He advocated that even teachers with fragmented relationships should be encouraged to make contributions to the learning community and be reconnected to colleagues.

Creating and sharing knowledge was the ability to lead action research and study groups, impart new knowledge, and encourage the discovery of innovative instructional strategies. The focus was on sustained change and not settling for a short-term solution. Fullan (2002) emphasized the importance of developing leaders at various levels (i.e., teachers) to create sustained growth. "An organization cannot flourish, at least not for long, on the actions of the top leader alone" (Fullan, 2002, p. 20). The qualities of leadership must be possessed by more than just the principal.

The principal as instructional leader was a limited role and was broadened to one that created change. The role of the principal was renamed most appropriately to "change leader" (Fullan, 2002, p. 20). The "change leader" valued teacher leaders and fostered the conditions necessary for increased capacity and sustained change.

#### *Summary of The Evolving Role of the Principal*

Hallinger (1992) described the role of the principal as evolving from manager to instructional leader to a role that increased instructional capacity. Cascadden's (1998) case study added empirical support for that role shift. The principal's role as manager and instructional leader was a top-down, hierarchical role. The role of instructional capacity builder, however, was one that employed collaboration with teachers.

The principal can no longer lead alone and accomplish the goals of dual accountability systems. The subsection, The Principal's Role in Increasing Instructional

Capacity, provides evidence for the principal's role as one of building instructional capacity. Leithwood and Jantzi (1990); Reavis, Vinson, and Fox (1999); McLaughlin and Hyle (2001); Williams (2000); Leithwood and Montgomery (1982); Hallinger, 1992; and Fullan (2002) described the principal's latest role and substantiated that the effective principal relates to teachers through influence-gaining strategies. An examination of how the principal relates to teachers through influence-gaining strategies follows.

### Influence-Gaining Strategies

The leader is “. . . an architect of relationships” (Wald & Castleberry, 2000, p. 26). This section, Influence-Gaining Strategies, examines how the principal creates relationships through influence-gaining strategies in ways that increase instructional capacity. Effective communication is paramount to relationship building and was identified in all the studies reported in this section. An examination of the principal and the beginning teacher relationship by Brock and Grady (1998) follows.

Brock and Grady (1998) examined the principal role and beginning teachers. The purpose of the study was to “. . . examine the perceptions of principals and beginning teachers regarding problems, role expectations, and assistance in the first year of teaching” (p. 179). The following questions guided the study:

1. What differences exist between reports of beginning teachers and reports of principals regarding the problems that first-year teachers experience?
2. What role expectations do beginning teachers and principals have for each other? and
3. What differences exist between the kinds of assistance that beginning teachers want and the kinds of assistance that principals provide? (p. 179)

The study design was a descriptive research design. The researchers used both qualitative and quantitative methods as the data from surveys and interviews were used for data analysis, and reported in both a narrative and percentage form. A random sample of 75 second-year teachers and 75 principals from elementary and high schools in Nebraska was used for data collection.

Surveys were mailed to the teachers, with a return rate of 65%. Additionally, nine teachers participating in a university course for beginning teachers were interviewed. Teachers described their expectations for principal support, problems encountered their first year, and components they thought should be included in a first-year induction program. The return rate for the principal questionnaire was 75%.

The data were organized in tables and reported the percent of principals using various methods of assistance for beginning teachers, the framework for an induction program, and the percentages of principals using various methods of selecting mentors. The findings revealed the expectations for beginning teachers and the ways principals supported beginning teachers.

Principals expected their first-year teachers to demonstrate “ . . . a professional attitude, adequate knowledge of subject areas, good classroom management skills, excellent communication skills, a belief that every child can learn, and desire to help students succeed” (Brock & Grady, 1998, p. 180). They reported that problems noted by beginning teachers and principals were similar. Both groups listed classroom management and discipline as the number one problem in their first year. Beginning teachers and principals shared similar problems. The problems were:

. . . classroom management and discipline, working with mainstreamed students, determining appropriate expectations for students, dealing with stress, handling

angry parents, keeping up with paperwork, grading/evaluating student work, handling student conflicts, pacing lessons, varying teaching methods, dealing with students of varying abilities, and feeling inadequate . . . . (p. 181)

Beginning teachers wanted the principal to communicate good teaching criteria.

Beginning teachers believed that principals were central to a successful first year of teaching. According to Brock and Grady (1998), " . . . beginning teachers identified the school principal as a key source of support and guidance" (p. 182). The teacher and principal relationship increased the success for first-year teachers. The next study, conducted by Blase and Blase (1999), focuses on specific strategies that the principal used to build capacity and improve student outcomes.

Blase and Blase (1999) purposed to examine principals who exhibited exemplary instructional leadership strategies and how they influenced teachers. Two broad questions were used to investigate principal strategies: "What characteristics of school principals positively influence classroom teaching? and, conversely, What characteristics of school principals adversely effect classroom teaching?" (p. 352). The study design was qualitative and used social interaction theory to emphasize the human perception and meaning that people construct of their environment.

The Inventory of Strategies Used by Principals to Influence Classroom Teaching (ISUPICT), an open-ended questionnaire, was used to obtain information from teachers. This instrument was developed using input from graduate professors and pilot-tested with 30 teachers who were enrolled in graduate studies. Suggestions were made by both groups to construct the final form of the instrument.

Blase and Blase (1999) collected data from a study sample of 809 teachers consisting of male ( $n = 251$ ) and female ( $n = 558$ ) teachers. Data analysis included

coding guidelines for inductive-exploratory research and comparative analysis. Line-by-line analyses of each questionnaire produced categories and subcategories for principal characteristics. Out of these analyses, coders inspected segments of the research data. The degree of consistency among raters was high (.90). They identified two major themes: (a) talking with teachers for reflection, and (b) professional growth.

Blase and Blase (1999) found that principals used five primary talking strategies to promote reflection: “. . . (a) making suggestions, (b) giving feedback, (c) modeling, (d) using inquiry and soliciting advice and opinions, and (e) giving praise” (p. 359). They reported that “. . . our findings echo research that discusses long-understood fundamental human needs for trust, support, and professional interaction” (p. 365). A finding pertinent to this review was that principals must “. . . talk openly and frequently with teachers about instruction” (p. 366). The next study, Short (1994), supports the Blase and Blase (1999) finding that effective principal communication contributed to teacher reflection on instructional practice.

Short (1994) focused on increased collaboration and instructional capacity through self-managing teams. The purpose of the study was to identify schools that were empowered by self-managing teams and to study the principal role in the growth and development of such teams. The research question was: “What attitudes, roles, and knowledge utilized by the principals in each empowered school facilitated self-managing work groups to become self-evaluative, self monitoring, and self-reinforcing?” (p. 494).

The study design was qualitative, as data collection methods included observations, interviews, and document mining. The sample was comprised of middle schools located in a middle Atlantic state using interdisciplinary middle school teams. Short (1994)

visited sites and selected four schools based on the self-direction of the teams within each school. Two days were spent in each school conducting observations and interviews in order to select the four schools. School A had an enrollment of 650 students in grades six and seven and was located in a suburban area. School B was located in an urban setting and had an enrollment of 900 middle school students. School C had an enrollment of 850 students in grades six through eight, and School D was comprised of 950 students in grades six and seven.

Observations were conducted over a six-month period and focused on principal behavior, actions, and roles that fostered the establishment of the teams. Interviews were conducted every other month at each site with the principal, teachers, and students. Data analysis included the coding of role behaviors, attitudes, and knowledge of principals, specifically in developing the self-managing team. Content analysis was used to categorize responses to interview questions. Data were triangulated as documents were reviewed to ensure validation. Multiple researchers collected and checked the emerging themes during data reduction.

Short (1994) noted several themes that provided insight into the role of the principal: (a) facilitated reflection, (b) facilitated goal setting, (c) facilitated the self-criticism of the team, and (d) facilitated team self-reinforcement. The results included principal dialogue with team members that were noteworthy for this review.

Principals facilitated thinking by encouraging teacher reflection about academic success. The principals used conversations to generate dialogue for goal setting. Principals assisted teachers in recognizing their own successes without input from others. Short (1994) noted that one principal valued teachers by stating, "They can make better

decisions than I can on things that affect learning" (p. 500). Principal communication increased teacher reflection on teaching and learning and, thus, contributed to increased instructional capacity as best described by the principal in the above quote.

Continuing to focus on principal verbal communication with teachers, Singh and Billingsley (1998) examined the effects of principal support on teacher commitment. The purpose of the study was to “. . . examine the effects of professional support on commitment to the teaching profession” (p. 230). Their literature search established that principals influenced teacher commitment to the profession. Singh and Billingsley then hypothesized that principal support would influence peer support and that peer support would influence teacher commitment. The study design was a correlational research design with teacher commitment as the dependent variable and administrative leadership role, peer support, and background as the independent variables.

Data from the Quality of Education Data and National Center for Education Statistics Sample (as cited in Singh & Billingsley, 1998) were used to obtain a school sample. Teachers were selected from the sample schools and stratified into two groups: new teachers and others. A questionnaire was mailed to teachers who were systematically selected with equal probability resulting in a response rate of 86.4%. The sample size for the present study ( $n = 9,042$ ) was taken from a 25% random sample of the teacher questionnaire respondents.

Questionnaire items that reflected the constructs of principal leadership and support, peer support, and teacher commitment to the profession were selected for the data analysis. The measurement model was determined by an exploratory factor analysis that identified factor patterns. Confirmatory factor analysis tested the measurement

model. The LISREL 8 computer program (as cited in Singh & Billingsley, 1998) analyzed the relationship among latent variables.

Findings indicated that peer support displayed the largest effect on commitment ( $\beta = .30$ ), while principal leadership/support displayed an effect of  $\beta = .28$ . Principal leadership support influenced professional commitment ( $\beta = .20$ ) and also affected professional commitment indirectly through peer support. Singh and Billingsley (1998) reported a total effect of principal leadership/support of .48. Background variables (gender, education, and experience) had smaller effects, while all three variables showed significant effects on professional commitment. Stated simply, Singh and Billingsley found that when principals used strategies such as communicating clear expectations and providing assistance and support, teachers experienced greater professional commitment. Principal and teacher relationships (particularly positive communication) contributed to teacher commitment, which in turn increased instructional capacity.

Principals exhibited influence-gaining strategies to increase instructional capacity as evidenced in these studies: Brock & Grady, 1998; Blase & Blase, 1999; Short, 1994; and Singh & Billingsley, 1998. Brock and Grady (1998) focused on beginning teachers and principal relationship. Blase and Blase (1999) and Short (1994) found that principal strategies promoted teacher reflection. Singh and Billingsley (1998) established that principal strategies promoted teacher commitment. These findings substantiated the notion that principals created relationships with teachers through influence-gaining strategy to build instructional capacity, thus resulting in improved student achievement. The next study by Kirby and Colbert (1994) examines strategies of effective principals.



Kirby and Colbert's (1994) study sought to "... determine if principal authenticity was related to degree of faculty empowerment: That is, are teachers who perceive their principals as more authentic more likely to feel empowered?" (p. 40). They hypothesized that leader authenticity positively related to teacher empowerment. The study was a correlational research design. The sample included 30 schools randomly selected from a list of all high schools in a southern state. Schools whose principals had been in their positions for three years or more were eligible to participate. Twenty randomly chosen teachers participated in the study, ten who completed the authenticity scale and ten the empowerment questionnaire.

Kirby and Colbert (1994) examined authenticity in relation to teacher empowerment. The conceptual definition of empowerment was taken from Macroff (1988) as having "... greater status, access to decision-making, and opportunities for improving their knowledge and skills" (p. 41). They used the *Leader Authenticity Scale* (as cited in Kirby & Colbert) to assess principal authenticity. Likert-type scale items were used to obtain an authenticity score for all teachers and then averaged according to the school site. The responses ranged from one to six, with a low score indicating greater authenticity. The averaged scores helped to obtain a principal authenticity score. "The mean authenticity score was 2.42, with a standard deviation of .72. The range was from 1.3 (very high authenticity) to 4.0 (low authenticity)" (p. 45).

An 18-item Likert-type scale measured teacher or principal empowerment. Reliability of the instrument was obtained in a pilot study using test-retest and internal consistency methods. A panel of three experts asked teachers to describe decision-making in their schools by rating the level of empowerment. These ratings were correlated with

scores on the empowerment questionnaire to obtain construct validity ( $r = .65$ ,  $p < .02$ ). The three subscales demonstrated alpha internal consistency reliability, coefficients ranging from .72 to .78.

The empowerment score for each teacher was calculated by adding the responses of the items with scores ranging from 18 to 108. Subscale scores were computed for status, access to knowledge, and access to decision-making. Each subscale had a possible score of 6 to 36, with higher scores indicating higher levels of empowerment. Teacher scores within schools were averaged to arrive at an overall school empowerment score. The mean empowerment score was 71.90 and included a standard deviation of 9.60 along with a range of 54 to 93.

Three dimensions of empowerment (i.e., access to knowledge, access to decision-making, and status) were the independent variables, and authenticity was the dependent variable. Using the school empowerment score as the unit of analysis, the Pearson  $r$  was used between empowerment and authenticity, resulting in  $-.37$  ( $p < .02$ ). The negative correlation coefficient indicated that in schools where teachers felt more empowered, they were more likely to perceive the principal as authentic. Access to knowledge (a dimension of empowerment) was significantly related to leader authenticity ( $r = -.35$ ), explaining 12% of its variance. The relationship between status (a dimension of empowerment) and authenticity was "... in the predicted direction but was not statistically significant:  $r = -.27$ " (Kirby & Colbert, 1994, p. 47).

Kirby and Colbert (1994) found that access to knowledge (a dimension of empowerment) was the best single predictor of principal authenticity. Principals who provided teachers with access to knowledge (e.g., professional development activities)

created collaborative relationships and enhanced teacher decision-making skills. These principals, therefore, were viewed as more authentic and as building instructional capacity. A finding of the study was that "Enabling teachers through professional development may be the principal's most compelling behavior in demonstrating commitment to teacher leadership" (p. 47).

Principals increased teacher empowerment by providing teacher access to knowledge (e.g., professional development activities). As a result, open, trusting, and collaborative relationships were developed between principals and teachers. The next study confirms that principal strategies influence teacher empowerment (i.e., the ability to instruct students well).

Blase and Blase (1996) purposed to identify behaviors and characteristics of exemplary principals and examine how this influenced teacher empowerment (i.e., the ability to instruct students well). The central research question was: "What are teachers' perceptions of the characteristics of school principals that influence their sense of empowerment, and what does being empowered mean to teachers?" (p. 119). The study design was qualitative and included a sample of male ( $n = 59$ ) and female ( $n = 226$ ) teachers with a mean number of five years of working with the principal. Schools with participating teachers were all members of the League of Professional Schools of Georgia. Principals were from schools with shared leadership, which was typical of schools in the aforesaid organization.

Data collection included the use of an open-ended questionnaire, The Inventory of Principals' Characteristics that Contribute to Teacher Empowerment (IPCCTE). The instrument was pilot-tested with 27 full-time teachers who were also graduate students.

Suggestions from the pilot study were used to design the final instrument. The IPCCTE required teachers to rate their principal on a scale from 1 (no impact) to 7 (very strong impact). They identified contributors to feelings of empowerment (e.g., behavior, attitudes, values, and goals) and how principal characteristics contributed to empowerment. Teachers also provided descriptions of two characteristics that influenced their empowerment.

Blase and Blase (1996) coded data according to principles for inductive research and comparative analysis. This required a comparison of each new unit of data to those coded previously for emergent categories and subcategories. Each questionnaire page generated one example of principal influence characteristics that contributed to empowerment.

The findings included the following principal strategies and personal traits (a) demonstrating trust in teachers; (b) developing shared-governance structures; (c) encouraging and listening to individual input; (d) encouraging innovation, creativity, and risk taking; (e) giving rewards; (f) providing support; and (g) personal traits. The principal personal traits associated with empowerment were: (a) a caring attitude, (b) displayed enthusiasm, (c) an optimistic outlook, (d) honesty, and (e) friendliness. These principal strategies and personal traits contributed to teacher empowerment.

Findings from Davis and Wilson (2000) and Campo (1993) established that principal behaviors relate to teacher motivation. Although these results (i.e., increased teacher motivation) are somewhat different from the results of the previous two studies (i.e., increased teacher empowerment), the results collectively indicate that certain

principal behaviors have positive effects on teacher performance. Principal strategies increase teacher motivation as evidenced by Davis and Wilson (2000).

Davis and Wilson (2000) examined how principal empowering behaviors related to teacher empowerment (i.e., motivation, satisfaction, and job stress). The research questions were:

1. Is there a significant relationship between principal empowering behaviors and teacher motivating behaviors?
2. Is there a significant relationship between principal empowering behaviors and teacher job satisfaction? and
3. Is there a significant relationship between principal empowering behaviors and teacher job stress? (p. 350)

The study was a correlational research design. The independent variable was principal empowering behaviors; and dependent variables were teacher motivation, job satisfaction, and teacher job stress. The sample consisted of 660 elementary teachers from 44 public elementary schools in eastern Washington. Likert-type scale surveys were distributed to teachers and principals. A total of 57 qualifying principals were contacted, which resulted in 44 schools as participants. Within these schools, 660 elementary school teachers and 44 principals completed the questionnaire. A principal questionnaire and cover letter were mailed to each principal.

A questionnaire was designed to measure four variables (i.e., principal empowering behaviors, motivation, job satisfaction, and job stress) and was completed by teachers. To measure motivation, teachers responded to the items in terms of their job in general. Cronbach's alpha coefficients for the four assessments of teacher motivation

(impact, competence, meaningfulness, and choice) ranged from  $r = .73$  to  $r = .94$ . Job satisfaction was measured on the same instrument. Cronbach's alpha coefficients for teacher job satisfaction ( $n = 44$ ) were  $r = .72$ . Job stress was measured using ten items that asked respondents how they felt while working. Cronbach's alpha coefficients for teacher job stress were  $r = .62$ .

Principal empowering strategies included:

. . . exhibits good self-awareness, can handle ambiguity, exhibits a good understanding of group dynamics, encourages working collaboratively, recognizes each person's uniqueness, has a vision to chart the course of the future, and has an internal process for renewing the school. (Davis & Wilson, 2000, p. 351)

Cronbach's alpha coefficients for job stress were  $r = .91$  for principal self-score and  $r = .98$  for teachers rating of principal behaviors. Results indicated a difference between how principals rated their empowering behaviors and how teachers rated principal behaviors. The principal and teacher scores were averaged for a combined principal empowering behavior score. Pearson product moment correlation analysis determined the relationship between the combined principal empowering behavior score and teacher motivation, job satisfaction, and job stress.

Findings revealed that a significant relationship between principal empowering behaviors and teacher motivation existed. The higher the principal empowering behaviors score, the higher teachers' overall motivation score ( $r = .38; p < .01$ ). The higher the number of principals participating in empowering behaviors, the greater the impact teachers believed they were able to make ( $r = .37; p < .01$ ) and the more likely they were to see choices in selecting for positive outcomes ( $r = .36; p < .01$ ).

Teacher motivation related to job satisfaction ( $r = .56; p < .01$ ) and job stress

( $r = -.53$ ;  $p < .01$ ). The higher teacher motivation (i.e., impact, competence, meaningfulness, and choice), the more pleased they were with their jobs and encountered less stress. These findings confirmed that principal behaviors (i.e., strategies) were related to teacher motivation.

Continuing to focus on principal strategies and positive teacher performance, Campo (1993) examined teacher collaboration and the principal. The purpose of the study was to understand the principal role in fostering teacher collaboration. The following questions guided the study:

1. What do principals and teachers perceive to be the extent of collaboration in their schools?
2. Which strategies are most often used by principals to develop a collaborative school culture?
3. To what extent do principal strategies contribute to collaboration in the school, and are all strategies of equal importance? and
4. Does the way in which the principal uses the strategies affect the extent of collaboration? (p. 121)

Data from two comprehensive studies of school improvement in Ontario and British Columbia were used to examine the questions. Qualitative and quantitative analyses were conducted. The qualitative analysis included content analysis for which a checklist and matrix were developed for each school. A narrative for each school was used to compile three case studies. Reliabilities, correlation, and multiple regression analyses were used to analyze quantitative data. The dependent variables were Little's (1982) critical practices of adaptability used as indicators of collaboration (i.e., teacher

talk and joint planning). Principal strategies were the independent variables. The quantitative results were linked to the qualitative outcomes.

A limitation of the study was the omission of the correlation values and variance for regressive analyses, as Campo (1993) reported in narrative form only. The findings indicated that teachers perceived themselves to be collaborative due to their involvement in teacher talk and joint planning. Quantitative analyses revealed that decision-making processes and strengthening of the culture contributed most to collaboration among teachers.

Sharing in decision-making gave teachers a feeling of ownership that was essential for school improvement. It also motivated teachers and helped to increase commitment to their shared school vision. Campo's (1993) findings confirm that "Flexibility, vision, emphasis on personal and individual growth and facilitating interaction between teachers appeared to be an important and essential ingredient of leadership that contributed to [teacher] collaboration, motivation, and commitment" (p. 124). These findings support the Davis and Wilson (2000) findings that principal strategies relate to teacher motivation. The investigation of principal strategies in the next study focus on teacher efficacy, a broader view of teacher performance than found in the previous studies.

Hipp and Bredeson (1995) investigated principal strategies and teacher efficacy. The purpose of the study was to investigate the connections between principal leadership strategies and teacher efficacy in schools involved in a change process. Three questions guided the study:



1. Is there empirical support for separating the construct of teacher efficacy into general teaching efficacy and personal teaching efficacy?
2. Do principals and teachers perceive the leadership behaviors and intentions of principals similarly? and
3. Are selected leadership behaviors of principals related to teachers' general teaching efficacy and personal teaching efficacy? If so, which behaviors are most important to each dimension of efficacy? (p.137)

The initial study design included both quantitative and qualitative data sources. Only quantitative findings from the two survey instruments were reported. The study design was an exploratory factor analysis.

The sample was comprised of 10 principals and 280 teachers from Wisconsin middle schools involved in change efforts. Teacher efficacy was defined by Gibson and Dembo's Teacher Efficacy Scale (as cited in Hipp & Bredeson, 1995) as the " . . . teacher's rating of his or her own ability to perform the necessary tasks to bring about positive student change" (p. 143). This definition was closely related to the definition of instructional capacity, which made the findings of this study more relevant.

Teachers completed The Nature of Leadership portion of Leithwood's The Change Process in Secondary Schools Questionnaire (as cited in Hipp & Bredeson, 1995). They also completed a personal data sheet and an adapted version of Gibson and Dembo's Teacher Efficacy Scale. General and personal teaching efficacy variables were measured by a modified version of the Teacher Efficacy Scale (as cited in Hipp & Bredeson). Eight items measuring general teaching efficacy and eight items measuring personal teaching efficacy were used for the study.

Hipp and Bredeson (1995) conducted a factor analysis of the original 30-item scale which yielded acceptable reliability coefficients in only 16 items (.78 for the personal teaching factor and .75 for the general teaching factor). Multi-trait and multi-method analyses across two methods of measurement affirmed convergent and discriminate validity of this scale. The behaviors (i.e, strategies) of principals were defined as "... principal and teacher mean aggregated ratings of principal transformational leadership performance" (p. 143). The factor analysis yielded significant loadings ( $\geq .60$ ) on the five factors of transformational leadership as modeling behavior, inspiring group purpose, providing contingent rewards, holding high performance expectations, and providing support.

Hipp and Bredeson (1995) reported that results for research question one indicated teacher personal teaching efficacy as significantly higher than general teaching efficacy ( $F = 272.52, p > 0.000$ ). Teachers believed they had more control over their own performance than they did over group performance. The results for research question two implied that a significant difference existed between principal perception of their leadership behaviors and how teachers perceived those same behaviors ( $F = 20.90, p < 0.000$ ). Correlation analysis was used to address the third question; and based on 280 responses, an  $r \geq .119$  indicated a statistically significant relationship between leadership behavior and teacher efficacy. Statistically significant relationships existed between overall leadership behavior and personal teaching efficacy ( $r = .142$ ) and general teaching efficacy ( $r = .201$ ).

Hipp and Bredeson (1995) stated that the findings:

. . . provided empirical evidence that three transformational leadership behaviors, modeling, inspiring group purpose, and providing contingent rewards, were strongly associated with teacher efficacy. (p. 148)

They also found that "The dominant theme across leadership behaviors was that principals influenced teachers, staff, and students more by what they did than by what they said" (Hipp & Bredeson, 1995, p. 147). Principal strategies (modeling, articulating goals, and contingent rewards) contributed to principal and teacher relationships and teacher efficacy.

Similarly, Blase's 1987 study described principal strategies identified with effective principals and the impact of those characteristics on teachers. The purpose of the study was to examine teacher perspectives on effective school leadership. The study design was qualitative in nature. The sample consisted of 75 to 80 male and female teachers in an urban high school. The school had an enrollment of 1,500 students and was staffed by three counselors, two assistant principals, and one principal.

Blase (1987) collected the data during a 30-month case study. During the first year, data from open-ended questions were coded through an inductive process. Teachers identified and discussed personal and professional life factors that they believed contributed to changes in their work perspectives since the beginning of their careers. Analyses of these data suggested that leadership of the school was a factor in shaping the teacher work perspective as well as affecting norms and patterns of behavior within the school.

In the second year of the project, Blase (1987) examined the scope of the principal effectiveness and ineffectiveness. Three interviews were conducted with 40

teachers, for a total of 170 interview hours. Teachers identified and described the characteristics of all effective and ineffective high school principals for whom they had worked. They described how the principals affected them and their relationship with others. Teachers described themes identified in earlier interviews and were asked to identify additional examples during a second and third round of interviews.

Constant comparative analysis was used and described as " . . . line-by-line inspection of all the data determined a fit into emergent categories and hypotheses or created new categories and hypotheses" (Blase, 1987, p. 592). Two professors and two doctoral students served as evaluators when questions arose about coding and interpretation of the data. After the data collection, a framework emerged as a way to organize data. The framework included a leadership dimension related to task-relevant behaviors and consideration behaviors. The task-relevant behaviors were " . . . accessibility, consistency, knowledge/expertise, clear and reasonable expectations, decisiveness, goals/direction, follow-through, ability to manage time, and problem solving orientation" (p. 594). The second dimension of the framework was labeled as consideration behaviors. The consideration behaviors were " . . . support in confrontations/conflict, participation/consultation, fairness/equitability, recognition (praise/reward), and willingness to delegate authority" (p. 594).

Blase (1987) found that effective school principals contributed to the development of cultural (i.e., values and norms), associative (i.e., cohesive), and social (i.e., behavioral) patterns in schools. Each principal exhibited all of the task and consideration factors, and these factors were interrelated. In comparison, ineffective school principals created fragmented cultures along with nonsupportive relationships.

The principal's ability to work with people was enhanced by these personal qualities and strategies: (a) accessibility, (b) consistency, (c) knowledge/expertise, (d) clear and reasonable expectations, (e) decisiveness, (f) goals/direction, (g) follow-through, (h) ability to manage time, and (i) problem-solving abilities.

An interesting finding was the belief that even an effective principal did not have complete curricular knowledge and understanding of teacher and student needs. Teachers noted that there were problems that could not be solved without teacher input. "The school is too complex for any one person . . . " (Blase, 1987, p. 603). Findings indicated that certain principal strategies contributed to improved relationships, which may contribute to instructional capacity building.

A search of the literature proves that principal strategies used to increase instructional capacity are numerous, varied, and are most likely infinite in number. A classification method used to examine principal strategies (High & Achilles, 1986) is examined in the next study.

High and Achilles (1986) used the social power bases developed originally by French and Raven (as cited in Cartwright, 1959), and later modified by Raven (as cited in Erchul & Raven, 1997), as a method of summarizing influence gaining strategies. The purpose of the study was to " . . . examine how principals in 'effective' and in other schools gained influence over their teachers" (High & Achilles, 1986, p. 111). Two research questions framed the study:

1. How do principals influence their teachers? and
2. Do principals in high-achieving schools influence their teachers in ways different from those used by principals in other schools? (p. 111)

A correlational research design was used to determine how principals gained influence over teachers. Conclusions were based on data gleaned from questionnaires, observations, and interviews with principals and teachers.

High and Achilles (1986) used French and Raven's (as cited in High & Achilles) bases of social power and two additional bases of power derived from the literature to classify the behaviors. The bases of social power originating from French and Raven are principal as referent, expert, rewarder, coercer, and legitimate authority. The two bases of power derived from the literature were involver and principal as norm setter.

The sample was comprised of schools in an urban school district where school improvement initiatives were underway. Nine schools that met the following criteria were included in the study:

1. The principal of each school must have been principal at that school for a minimum of three years,
2. Elementary schools included grades K-5 or K-4,
3. Middle schools included grades 6-8,
4. The student population was at least 95% black, and
5. Each school had been involved in the school improvement project for at least one year. (High & Achilles, 1986, p. 112)

Data collection included a teacher questionnaire ( $n = 97$ ), principal questionnaire ( $n = 9$ ), and a survey for administration and faculty ( $n = 103$ ;  $n = 26$  high- achieving and  $n = 77$  other). In a pilot test of the questionnaires, teachers ( $n = 49$ ) and administrators ( $n = 15$ ) completed the questionnaire and offered suggestions for improvement. The Pearson  $r$  correlation coefficient was applied along with the Spearman-Brown formula. A

.92 coefficient of internal consistency was found for the teacher questionnaire, and the principal questionnaire yielded a .89 coefficient of internal consistency. The results of the Pearson  $r$  and the Spearman-Brown formula, as reported for these questionnaires, indicated a high degree of internal consistency. Teachers and principals were interviewed to test the validity of the questionnaire responses. Conclusions were based on the four data sources (i.e., teacher questionnaire, principal questionnaire, implementation questionnaire, and observation/interviews).

The findings indicated perceived differences between the influence-gaining behaviors of principals in high-achieving schools and principals in other schools. Principals in high-achieving schools exhibited expert, norm setter, and legitimate authority behaviors most often. Principals in the other schools exhibited norm setter and legitimate authority behaviors. Principals in high-achieving schools rated referent and legitimate authority behaviors the highest and rated involver and coercer behaviors lowest. As a result of observations and interviews, principals in high-achieving schools were ranked highest in norm setting, expert, and legitimate authority and lowest in coercer. To check the initial findings, data were analyzed further using the Mann-Whitney U test.

High and Achilles (1986) concluded that the principal as expert had more opportunity to operate within the exchange system and must develop more instructional expertise so they may "exchange this expertness to influence teachers to improve instructional efforts" (p. 117). This strategy offered the most possibility for influencing teachers for improved student outcomes. Norm setting was an important starting point of influence for principals with teachers. Although the authors did not confirm a cause and

effect relationship, they concluded that increased principal leadership seemed to contribute to improved student outcomes. In addition, High and Achilles establish that French and Raven's social bases of power (as cited in High & Achilles) can be used as a framework for studying influence-gaining behaviors.

### *Summary of Influence-Gaining Strategies*

Findings were presented that substantiate the theory that principals use influence-gaining strategies as a component of leadership. The literature reveals that the influence-gaining strategies are vast, varied, and possibly infinite. This researcher now uses the social bases of power originated by French and Raven (as cited in Cartwright, 1959), and complemented by Raven (as cited in Erchul & Raven, 1997), as an organizer for this summary. They are (a) coercive power, (b) reward power, (c) legitimate power, (d) expert power, (e) referent power, and (f) informational power. Their definitions follow:

1. Coercive power—founded on the perception of Person B that Person A might be punished if Person B does not comply
2. Reward power—based on B's perception of A's ability and willingness to reward B
3. Legitimate power—derived from B's obligation to comply to A's influence because B perceives A as having the legitimate right to influence, probably because of A's position
4. Expert power—founded on B's perception that A possesses knowledge in a certain area and
5. Referent power—A's potential to influence B based on B's connection (or desired connection) with A



6. Informational power—A’s ability to influence B because of the accuracy and relevance of the information contained in A’s message that incline B to make individual judgment and decisions

The following table was used to classify the findings from the section Influence-Gaining Strategies as they related to the social base of power. For the purpose of this summary, A is designated as the principal and B is designated as the teacher.

**Table 1**

Influence-Gaining Strategies Connected to Social Bases of Power

| Social Base of Power  | Influence-Gaining Strategy |
|---|----------------------------|
| Reward Power  | Blase and Blase, 1996      |
| B perceived that he/she may be rewarded by A                              | Hipp and Bredeson, 1995    |
| Legitimate Power  | Brock and Grady, 1998      |
| B has an obligation to comply with A because of A’s position              |                            |
| Expert Power  | Kirby and Colbert, 1994    |
| B perceived A to possess knowledge that would be beneficial to him or her | Blase and Blase, 1996      |
|   | Blase, 1997                |
|   | High and Achilles, 1986    |

|  |  |
|--|--|
| Referent Power   | Blase and Blase, 1996  |
| B believed there to be a relationship between A and B (i.e., both are educators)   |  |
| Informational Power  | Brock and Grady, 1998  |
| A's information empowered B to make his/her own decision (i.e., B decided that this was the best way to deal with the situation) | Blase and Blase, 1999<br>Short, 1994<br>Singh and Billingsley, 1998<br>Blase and Blase 1996<br>Davis and Wilson, 2000<br>Campo, 1993<br>Hipp and Bredeson, 1995<br>Blase, 1987 |

---

A more detailed summary of the findings as correlated to the social bases of power follows.

The reward power base is the teacher belief that he/she may receive rewards from the principal. Both Blase and Blase (1996) and Hipp and Bredeson (1995) reported that the principal used rewards (both tangible and symbolic) to empower teachers.

Legitimate power (i.e., the teacher may feel an obligation to comply to the principal based on the principal's position) is associated with findings reported by Brock

and Grady (1998). They noted that beginning teachers looked to principals for guidance and communication of teacher criteria.

Expert power is the teacher belief that the principal possesses knowledge that will be beneficial to the teacher. Kirby and Colbert (1994) found that teacher access to knowledge was critical to teacher empowerment. They defined access to knowledge as “. . . the ability of the teacher to acquire information and skills in shared decision-making processes as well as the specific content addressed” (p. 42). They also emphasized the importance of the principal role in providing opportunities for teachers to gain knowledge. Blase and Blase (1996) found that teacher empowerment was associated with teacher knowledge of teaching and curriculum. They quote a teacher referring to the principal as a source of knowledge, “. . . I am beginning to seek his [principal] help in areas I was afraid to let him know I was struggling” (p. 135). Blase (1997) reported that teachers associated effective principals with possessing knowledge. These teachers described the dimensions of principal knowledge as “. . . intelligent, worldly, experienced, perceptive, prudent, analytical, having substance, well-rounded, and well-educated (p. 598). These findings are related to expert power; there is evidence that the teacher believes the principal to be a source of knowledge. High and Achilles (1986) concluded that the principal as expert had more opportunity to operate within the exchange system.

Referent power is described as the teacher belief that both the principal and teacher are educators and can base decisions and a working relationship around this belief. Blase and Blase (1996) reported that teacher professionalism related to teacher empowerment. The teachers associated professionalism with a perception of equality

with the principal. This relates to referent power, as the findings confirm that the teacher believes the principal and teacher have something in common (i.e., both are educators or professionals).

The majority of findings are connected to informational power. This is described as the ability of the principal to influence teachers through knowledge and information being communicated from the principal. The teacher, therefore, gains skills needed to make informed decisions. Erchul and Raven (1997) listed the following example of B's (i.e. teacher) thinking when influenced by informational power: "Yes, I listened carefully to A [the principal] and I can now see for myself that this is clearly the best way to deal with the problem" (p. 139).

Informational power can be exerted without "... continued social dependence upon the influencing agent" (Erchul & Raven, 1997, p. 139). Findings associated with informational power are as follows. Brock and Grady (1998) noted that beginning teachers looked to principals for guidance and communication of teacher criteria. Blase and Blase (1999) found that principals used influence-gaining strategies to promote teacher reflection and communication. Similarly, Short (1994) found that principals promoted teacher reflection through strategies such as facilitating teacher reflection and goal setting. Singh and Billingsley (1998) established principal communication of expectations (another principal strategy) resulting in greater teacher commitment.

Also associated with informational power are findings from Blase and Blase (1996). They found that principal strategies influencing teacher empowerment and promoting the exchange of informational power were: (a) demonstrated trust in teachers; (b) listened to and encouraged teachers; (c) created a shared leadership environment;

(d) provided support to teachers; and (e) being caring, honest, friendly, optimistic, and enthusiastic. Davis and Wilson (2000) found that these principal strategies affected teacher motivation: (a) encouraged collaboration, (b) articulated vision, (c) appreciated the uniqueness of staff, and (d) exhibited self awareness. Campo (1993) found that principal strategies involving decision-making and strengthening of the culture contributed most to collaboration among teachers. Again, these strategies are related to informational power.

Hipp and Bredeson (1995) found that modeling, inspiring group purpose, and providing rewards were principal strategies strongly associated with teacher efficacy through the informational power base. Blase (1987) provided support that principal strategies (e.g., accessibility, consistency, knowledge, clear expectations and goals, ability to manage time, and problem-solving abilities) were related to improved teacher performance and informational power exchange. These findings establish that principal influence-gaining strategies are related to an informational power base.

The next subsection examines how these influence-gaining strategies are exchanged between the principal and teacher in ways that may or may not facilitate a principal and teacher exchange that increases instructional capacity.

### The Flow of Influence

The principal cannot increase instructional capacity alone and therefore seeks to gain the input, assistance, and expertise of teachers. Teachers also cannot improve instruction alone. Due to increased accountability through assessment systems, the principal and teacher have a collective responsibility for improved student outcomes. The flow of influence within an organization is essential for principals.

This section, The Flow of Influence, (a) includes a theoretical examination of the flow of influence, (b) establishes a two-way flow of influence from principal to teacher and teacher to principal that exists in some low income and high-achieving schools, and (c) concludes with the unsettling finding that a one-way flow of influence exists in some schools.

#### *A Theoretical Examination of the Flow of Influence*

Early scholars such as Homans (1958), Malinowski (1926), and Gouldner (1960) established a sociological basis for the flow of influence, social exchange (Homan, 1958), and the norm of reciprocity (Gouldner, 1960).

Homans (1958) defined social behavior as:

Social behavior is an exchange of goods, material goods but also non-material ones, such as the symbols of approval or prestige. Persons that give much to others try to get much from them, and persons that get much from others are under the pressure to give much to them. (p. 606)

An example of this exchange was that of the Trobriand Islanders as studied by Malinowski (1926). An exchange principle permeated tribal life. Each villager partnered with a coastal fisherman and exchanged products with the other. The villagers received fish from the fishermen, and the fishermen received fresh vegetables from the villagers. The relationship became embedded in the tribal ceremonies and rituals. Malinowski continued to discuss in his classic work, *Crime and Custom in Savage Society* (1985), that “. . . many transactions are linked into chains of mutual services, every one of them having to be repaid at some later date” (p. 32).

Gouldner (1960) described social exchange as a "norm of reciprocity" (p. 170) and as behavior between two or more people who have organization sanction. He elaborated on the norm of reciprocity as ". . . in its universal form, in making two interrelated,

minimal demands: (a) people should help those who have helped them, and (b) people should not injure those who have helped them" (p. 171). Gouldner continued to explain that a lack of reciprocity could have existed when one person was more powerful than the other. For example:

If B is considerably more powerful than A, B may force A to benefit with little or no reciprocity. This social arrangement, to be sure, is less stable than one in which B's reciprocity motivates A to continue performing services for B, but it is hardly for this reason sociologically unimportant. (p. 162)

According to Gouldner's (1960) theory, the norm of reciprocity may not have existed in every case.

A commonality in Homan's (1958) description of social exchange and Gouldner's (1960) discussion of norm of reciprocity was that it was an exchange between members of an organization. To create equilibrium in society, the exchange must have been mutual. When one person gave to another person, the natural order was for the person who had received to give something back to the original giver. Malinowski's (1926) study of the Trobriand Islanders substantiated these theories.

Gouldner's (1960) notion that it was more difficult for the norm of reciprocity to be operationalized when one person was more powerful than the other had implications for this review. The principal has more power than the teacher due to the principal's role of teacher evaluator. This may result in an imbalance in exchange.

Ogawa and Bossert (1995) described social exchange in an organization (e.g., a school) as a flow of leadership or flow of influence. They reviewed literature to conceptualize leadership. The purpose of the review was to "... argue that leadership is an organizational quality" (p. 225). They listed four assumptions of leadership:

1. Leadership functioned to influence organizational performance;

2. Leadership was related to organizational roles;
3. Leaders were individuals who possessed certain attributes, acted in certain ways, or both; and
4. Leaders operated within organizational cultures. (p. 226)

The basis for discussion was Selznick's concept (as cited in Ogawa & Bossert, 1995) that any ideas about leadership were based upon ideas of an organization. The implications from two perspectives for understanding leadership created a framework for the review. The first was taken from a technical-rational theory, and the second was taken from institutional theory.

The technical-rational theory conceptualized leadership as limiting power to those in upper level management (i.e., the principal) and emphasized reaching goals as the ultimate outcome. A basic assumption was that leadership existed to effect participant behavior through a top-down leadership approach. Leaders possessed qualities that set them apart from other participants. Leaders operated within a culture and contributed to ways in which the participants internalized the circumstances of the organization and, thus, effecting how participants performed.

The institutional perspective theory proposed that leadership encompassed (a) the survival of the organization, (b) organization roles, and (c) the involvement of individual behaviors. The survival of the organization depended upon more than participant actions, but upon the organization as a system. The principal and teacher must make their roles relational rather than only organizational.

Ogawa and Bossert (1995) suggested that leadership must be reciprocal. It must flow " . . . up and down levels and between organizational components, including roles,



regardless of formal prescription" (p. 236). Thus, the medium (i.e., actions, behaviors) by which influence could flow was social exchange. The institutional perspective was causal or, as stated by Ogawa and Bossert (1995), "... a form of social influence" (p. 238). Leadership must flow through a network of roles. Ogawa and Bossert (1995) indicated that if leadership does not flow throughout organizations, that "... research might begin to tease out the sets of problems . . . " (p. 240).

Continuing to focus on the flow of influence, findings from Blase (1993), Reitzug and Reeves (1992), and Firestone and Wilson (1985) are reported in the next subsection. They describe a flow of influence from the principal to teacher. An examination by Blase (1993) follows.

#### *Principal and Teacher Influence*

Blase (1993) purposed to examine strategies of open and effective principals. The open-ended research questions focused on the following question: "What are teachers' perceptions of the strategies that school principals use to influence them?" (p. 145). The study design was qualitative in nature. The sample of 836 teachers was drawn from a larger qualitative study that examined the perspectives of 1,200 teachers about principal strategies. Included were male ( $n = 172$ ) and female ( $n = 664$ ) teachers from elementary, middle, and high schools.

An open-ended questionnaire, The Inventory of Strategies Used by Principals to Influence Teachers (ISUPIT), was designed to gather data regarding teacher perceptions of principal strategies. Data analysis included coding principles for inductive analysis. The data were categorized and analyzed using the items on the ISUPIT and indicated that principal ability to influence teachers was related to two factors: normative strategies

were in conjunction with teacher normative strategies, and goals were consistent with teacher goals.

Findings revealed that principals used instructional leadership strategies to influence teachers. The strategies influenced teachers positively and related to teacher goals and values. The strategies were: (a) reward and praising teachers, (b) communicating expectations, (c) administrative support, (d) exercising formal authority, (e) modeling expectations, (f) maintaining visibility, (g) providing advice through informal suggestions, and (h) involving teachers in decision-making. The findings suggested that effective principals communicated their visions, goals, and expectations.

Reitzug and Reeves (1992) also examined the flow of influence by examining principal leadership strategies. They purposed to increase understanding of symbolic leadership strategies of an elementary school principal. The study objectives were to: “(a) provide a rich description of symbolic leadership, (b) increase the conceptual understanding of symbolic leadership behavior, and (c) explore the distinction between using symbolic leadership in manipulative versus nonmanipulative ways” (p. 188).

The school and the principal were selected by asking district staff to list five exemplary elementary principals. Common entries were identified, and only one school and principal appeared on all lists and were selected for the study. The school was comprised of 800 students and located in a rural area. The student population was predominately White (72%), along with 25% Black and 3% Hispanic student enrollment. Almost half of the student population (45%) qualified for free or reduced lunch.

Sergiovanni's (as cited in Reitzug & Reeves, 1992) cultural influences (e.g., technical, human, educational, symbolic, and cultural) were used as an organizing framework for data analysis. Technical leadership included planning, organizing, coordinating, and scheduling. Human leadership was that of providing support, encouraging growth, building morale, and using participatory management. Educational leadership consisted of providing knowledge in areas as supervision and program development. Symbolic leadership involved providing focus to what is valued.

Data collection and analysis involved interpretive research methods. Interviews were conducted with 41 teachers along with other certified staff members. The data were recorded and then transcribed. The principal was interviewed by each researcher and participated in numerous conversations throughout the process. The open-ended questions were "What is it like to work here? What is valued in this school? and How do you know?" (Reitzug & Reeves, 1992, p. 188)

Teachers were interviewed individually in addition to participation in two focus groups that facilitated interaction among teachers to provide data not obtained through other sources. Observations focused on the principal and also on other activities in the classrooms, cafeteria, and office. Notes were recorded during observations or immediately following observations. School documents (e.g., teacher handbook, school calendars, newsletters, grants, report cards, curriculum documents, and instructional program information) were mined for data.

Data were coded for key events, frequency of occurrence, and patterns. Each researcher coded individually with reanalysis done with others. Trustworthiness was established by data triangulation (e.g., interview, observation, log, and document data).

Copies of the draft were left with the staff for feedback. Adequate time (i.e., three months) was spent at the school to acquire redundancy of data.

Reitzug and Reeves (1992) constructed a framework as to how symbolic leadership occurred using the leadership forces hierarchy (Sergiovanni, 1991). Symbolic leadership took place on two levels. Overt symbolic leadership occurred in the forms of slogans, stories, songs, and ceremonies. Embedded symbolic leadership resulted from personal interpretation of meanings attached to routine daily happenings. Through daily routines, the principal sent messages about his values and beliefs. Some approaches were direct and obvious, and others were developed through various rituals and behaviors. This principal was considered highly effective with very few negative leadership examples emerging.

The flow of influence was operational through symbolic leadership as described by Reitzug and Reeves (1992). This could be interpreted, however, as an opportunity for the principal to manipulate the culture through symbolic leadership behavior. The principal's message was that " . . . what he promoted need not be accepted wholesale but should be examined by others in the context of their personal value and belief systems" (p. 217). Another area that must not be overlooked in the flow of influence was that of bureaucratic linkages as discussed by Firestone and Wilson (1985).

Firestone and Wilson (1985) discussed cultural and bureaucratic linkages. The purpose of the review was to provide details about the linkages between teacher and principals, and the difficulties a principal may face in using linkages to improve instruction. The guiding question was: "How do principals influence the instructional work of their schools?" (p. 7).

The bureaucratic linkages included roles, rules, and procedures and were described as “mechanisms that serve to coordinate the activities of people who work in organizations” (Firestone & Wilson, 1985, p. 8). Linkages were strong when the action of person A led to the action by person B. Bureaucratic linkages were “. . . formal, enduring arrangements that enable an organization to operate” (p. 9). A bureaucratic linkage important to instruction included four types of planning: (a) schedules, (b) allocation of students to classrooms, (c) budgets, and (d) curriculum. These linkages influenced behavior indirectly in ways that affected how teachers worked and interacted with others.

Bureaucratic and cultural linkages were different; however, the actions of a principal might influence both simultaneously. An example of this was the principal’s bureaucratic role in ability grouping as related to scheduling and assigning students to groups and classrooms. The principal’s cultural role in ability grouping created teacher expectations developed according to which group they taught.

Firestone and Wilson (1985) concluded that the principal shaped both the bureaucratic and the cultural linkages in a school, but none of the linkages alone were very powerful in influencing instruction. The principal’s contribution flowed through a variety of roles from the principal to teacher.

The principal and teacher need each other to improve student outcomes. The principal must elicit teacher expertise and leadership capabilities to meet accountability requirements of reform efforts. The teacher needs the leadership and support of the principal to improve student outcomes. A one-way flow of influence disrupts the balance

of exchange. If the teacher, for example, believes that the principal is only a dispenser of influence, then the teacher will not accept influence from the principal.

Due to increased accountability from reform efforts, the principal and teacher cannot reach accountability goals alone. It is imperative for a two-way flow of influence to exist between the principal and teacher to build instructional capacity and improve student outcomes. The next subsection, *A Two-Way Flow of Influence*, reports findings that reveal a two-way flow of influence in high-achieving schools (McDonald, 2001; Wolf, Borko, Elliot, & McIver, 2000). An examination by McDonald (2001) follows.

#### *A Two-Way Flow of Influence*

McDonald's (2001) study focused on three Kentucky elementary schools that were high-achieving despite a high poverty rate. The purpose of the study was to examine (i.e., document mining, interviews, and observations) how principals shared leadership by developing teacher leaders in three Kentucky schools. The research question was "How did principals share leadership with teachers and help develop teacher leaders in low-income, high achievement Kentucky schools in an accountability environment?" (p. 6). The design of this study was a case study.

A purposeful selection of schools was made by generating a list of all Kentucky elementary schools that qualified for rewards for three biennia (i.e., high achievement schools). For schools to be included, the student poverty income range must have been more than the Kentucky average, which was 47.67% (i.e., high poverty). Eleven elementary schools qualified in both of these areas. A third criterion was that the same principal must have remained in tenure during the past three years. Six of the eleven schools qualified in this area as well. The reputation technique was used to identify

principals who developed teacher leaders through a shared leadership approach. In addition, the school and principal had to be recommended by at least two individuals who had worked with the school.

McDonald (2001) conducted phone interviews with the principals to determine that shared leadership existed in the schools. The final determining factor was the high poverty rate and high academic index. Three schools met all the criteria outlined for participants and the principals were contacted and invited to participate. These principals accepted and the school and principal were given a pseudonym throughout the research project to protect anonymity.

The Kentucky Education Reform Act (KERA) implemented a high stakes accountability system. This created a need for the success of all students, even the poor students, and this success was unlikely achieved by the principal alone. The hypothesis was that principals themselves could not improve student outcomes for low-income students.

Interviews, observations, and documents were used to obtain qualitative data. Personal interviews (i.e., teacher and principal) and focus group interviews (i.e., teacher leaders) were held. Data were tape recorded and later transcribed to computer files for coding purposes. Observations included shadowing the principal, observing at faculty meetings, attending parent/teacher meetings, and observing school-based decision-making team meetings. Document mining included an examination of school documents that had a focus on student achievement such as the Consolidated Plan and school-based decision-making policies.

Data analysis was an ongoing part of the research. Categories were developed when the data were reduced. This process "resembled empirically grounded theory" (p. 152). The researcher coded categories, and data triangulation was used to identify patterns from the data. Internal validity was obtained by triangulating both data collection methods and other sources of information. Many different perspectives were assessed by the variety of data collection methods. The researcher also had two teachers and the principal at each school read the findings for accuracy. Data triangulation also helped to control any researcher bias that could have existed from the researcher's past experiences.

The cross case analysis found key findings common to all three case studies that answered the research question. These findings described how principals shared leadership and developed teacher leaders. The principals:

1. established a clear communication system around common goals,
2. embedded a culture of professionalism, and
3. institutionalized the basic tenets of KERA by modeling collegial partnerships. (McDonald, 2001, p. 341)

The principals in these schools were reported to have worked with teachers to monitor progress toward student achievement goals. The consolidated plan and KERA framed communication between principal and teacher. Principals shared information and decisions with teachers to utilize teacher knowledge expertise. Accountability made shared leadership necessary. Principals were " . . . analytical guides who provided appropriate internal and external resources and supported teachers as leaders" (p. 342). Implications from the research included the materialization of teacher leaders and the valuing of shared leadership. These principals encouraged collegiality and assisted



teachers to initiate change for improvement. High-achieving schools may embrace a two-way flow of influence more than lower performing schools. The next study examines schools with barriers (i.e., high student poverty) that experience success while engaged in reform efforts. The results substantiate the importance of a two-way flow of influence in high-poverty, high-achieving schools.

Wolf, Borko, Elliott, and McIver (2000) examined four exemplary Kentucky schools as they implemented KERA. The purpose of the study was to investigate teacher responses to large-scale reform efforts. The research questions were: “(a) What are the effects of recent Kentucky assessment reform on school structures, professional relationships, classroom practices, and teachers’ and students’ understandings of assessment?; and (b) What factors explain the patterns of success within and across exemplary sites?” (p. 357). The study design included case studies of four schools where “. . . ‘good things were happening’ within the reform movement” (p. 356).

The schools were selected through the advice of Kentucky Department of Education administrators, Regional Service Center directors, lead writing teachers, and principals. Schools suggested repeatedly were visited, and teachers and principals were interviewed. This resulted in the final selection of four schools. Two of the schools were located in rural eastern Kentucky and reflected the high poverty rate of the area, with 80% and 70% of students receiving free or reduced lunch. The unemployment rate of the area was 80%. The other two schools were located in more diverse, urban areas, with one fourth of students receiving free or reduced lunch.

Spillane and Thompson’s (1997) study of school districts involved in change provided the conceptual framework. They suggested that local capacity was based on

physical capital (resources), human capital (commitment to reform), and social capital (internal and external). Human capital and social capital were interdependent.

Data were collected through teacher observation; principal, teacher, and student interview; and document review (i.e., teacher lesson plans, student work, and classroom diagrams). Categories derived from the research questions were used to analyze data. Data were coded using a computer program to highlight practices that were related to the Kentucky reform. Once the data were coded, cases for the schools were developed, and themes emerged for each school. One theme resulted from the teachers referring to the school as a “university.” Other themes included “pride and respect, TEAM, and Fortune 500 Company.” After individual cases were written, data analysis continued with consistent themes emerging.

The findings revealed five common indicators of human and social capital that resulted in successful implementation of KERA. They were (a) a strong sense of heritage, (b) shared leadership, (c) alignment of Kentucky reform, (d) teacher ability to teach beyond what was expected, and (e) the commitment to base all decisions on what is best for children.

Pertinent to this review was the importance of shared leadership. One principal stated, “There is a very strong leadership, and the leadership is not just my leadership. It is coming from the staff” (Wolf et al., 2000, p. 366). Another principal identified her role as “teacher helper” (p.366). Teachers displaying a trust for principals listed these principal behaviors as contributing to school success: (a) willingness to listen, (b) good communicator, (c) facilitated teacher reflection and analysis of practice, (e) possessed

instructional knowledge, and (f) a caring attitude for students. Wolf et al. linked positive relationships to long-term commitments by the leadership:

Principals whose personal values and aspirations for their schools [were] consistent, coherent, and reflected in daily behavior [were] credible and inspired trust-they [were] leaders worth following into the uncertainties of change. (p. 21)

Despite high levels of poverty, these schools were successful in rigorous reform efforts. A two-way flow of influence was a vital component of the improved student outcomes experienced by these schools. Conversely, Keedy and Simpson (2001) and Little (1982) found an imbalance of exchange within some schools. This is verified in the findings of Keedy and Simpson's 2001 study of the flow of influence.

#### *An Imbalance of Exchange*

The purpose of the study (Keedy & Simpson, 2001) was to “. . . examine the flow of influence within four American high schools in two-ways: from principal to teacher and from teacher to principal” (p. 10). The research question was “Does influence flow from principal to teacher and from teacher to principal?” (p. 10). The research design was case study.

The reputation technique was used to create a purposeful sample of four principals from a southeastern state. The selection criteria for principals included leadership qualities that resulted in school improvement and improved student outcomes. Each principal selected ten teachers for the teacher sample.

Data were collected through a norm checklist, interviews, and observations from a sample of four principals. Interviews focused on obtaining the following information: (a) school conditions before beginning the job, (b) biographical influences and values

affecting administrative intentions, (c) vision, and (d) actions taken based on mission and visions.

Teachers were interviewed individually using the following interview questions:

1. How has your principal contributed to improving your school?
2. What insights/interpretations might you attribute to your principal's administrative decisions? and
3. What norms define the "way things work" in defining your relationship with your principal? (Keedy & Simpson, 2001, p. 15)

Teachers also completed a checklist of school-based norms collected through the interviews. They identified norms as (a) operating in the school, (b) not operating in the school, or (c) unsure if the norms were operating. The return rates averaged 73%, with a Cronbach alpha of .83.

Keedy and Simpson (2001) used an inductive method for categorizing common characteristics. The number of categories of principal school improvement was reduced to achieve an inter-rater agreement of .80. As a measure of validity, these categories were used as confirmatory checks on the principal-attributed priorities for action. Analysis of the interview procedure was a two-step process. The principal interview transcripts were analyzed for common patterns and integrated with data gleaned from the teacher interview process. The two-step analysis provided contextual validity.

Findings indicated that because teacher-identified norms confirmed ten principal priorities, principals did influence teachers. The priorities of the four principals (i.e., shared governance, teachers as curriculum experts, managerial efficiency, and student equity) were contextualized by teacher interpretations of principal actions. Keedy and

Simpson (2001) found the flow of influence from teacher to principal to be inconsistent across the four schools. Only two of the four schools exhibited a flow of power from teachers to principals. They concluded that " . . . power in schools remained hierarchical, because principals resided at the top of the school hierarchy. . . " (p. 39). Principals and teachers rarely shared power, which was disturbing as it has been known for sometime that there was a " . . . fundamental dependency of leaders upon other organization members" (p. 39). A similar finding is reported in the next study by Little (1982).

The flow of influence is highlighted in Little's (1982) findings after examining the school as a workplace and a focus of teachers as learners. The purpose of the study was to study the organizational characteristics that contributed to staff development. The research question was: What are the ways in which the social organization of the school as a workplace bears on teacher involvement in formal and informal occasions for "learning on the job?" The study design was a descriptive case study.

The sample was comprised of six urban, desegregated schools (three elementary and three secondary). One elementary and one secondary school were selected as sites with high success and involvement in formal programs of staff development. High success, low involvement schools were selected with the expectation of learning successful contributors that could be incorporated into future programs of staff development. One elementary school and one secondary school were selected as "low success, high involvement" schools. The goal was to learn the aspects of the work setting that had limited school success.

In a 19-week period, interviews were conducted with 14 members of the district administration, 105 teachers, and 14 administrators. Little (1982) discovered that more

successful schools were differentiated from less successful schools by increased staff interaction. Teachers participated in norms of collegiality and improvement initiatives. Little described teachers in more successful schools as pursuing ". . . a greater range of professional interactions with fellow teachers or administrators, including talk about instruction, structured observation, and shared planning or preparation" (p. 325).

Little (1982) defined reciprocity as ". . . an equality of effort by the parties involved" (p. 335) and further stated that successful interactions about teaching were reciprocal, even when they involved persons of different status (principal versus teacher). More successful schools openly critiqued instructional practices to improve teaching efforts without offending others. Referring to those conversations, a teacher stated, "We have some pretty outspoken people around here. We have some hot arguments at times, I guess, but it does not carry over anywhere else as far as I know" (p. 335).

In less successful schools, the avoidance of talk about teaching and the absence of reciprocity were evidenced by lack of conversations. A teacher in a less successful school described the barrier to conversation as, ". . . an atmosphere of competition . . . the inference in some things: 'Well, I have done that. You mean you haven't done it?' " (p. 335). The findings confirmed that some schools demonstrated a flow of influence and reciprocal relationships. More successful schools reciprocated or exchanged instructional dialogue to improve student outcomes. This finding was unsettling because not all schools demonstrate a two-way flow of influence.

It is established that some schools exhibit a two-way flow of influence, but others do not. Due to increased accountability from reform efforts, the principal and teacher cannot reach accountability goals alone. It is imperative for a two-way flow of influence

to exist between the principal and teacher to build instructional capacity and improve student outcomes. A summarization of the four sections in Chapter Two follows.

## Summary of Chapter Two

### *Summary of Section One*

This literature review begins with a brief history of educational reform and accountability efforts. A Nation at Risk (NCEE, 1983) established the belief that education must improve and became the impetus for future reform efforts. The need for principals to increase instructional capacity became apparent due to the reform emphasis on accountability. Decentralization of schools and increased accountability were evident in the mid 1980 and early 1990 reform efforts. A Nation Prepared: Teachers for the Twenty-first Century and Tomorrow's Teachers: A Report of the Holmes Group advocated a decentralized approach to school leadership. Further defining and supporting decentralization was Spillane and Thompson's (1997) case study of local education agencies. They found that human capital (i.e., principal and teachers) and creating positive relationships were critical in increasing capacity.

As a result of decentralization, accountability measures increased at the local level to evaluate progress of reform efforts. The Kentucky Education Reform Act (KERA) of 1990 was passed in accordance with the Kentucky Supreme Court opinion (Rose v. Council for Better Education, 1989) that declared Kentucky's public school system unconstitutional. The reform act includes high standards for student outcomes and holds schools accountable for meeting them. School accountability increases responsibility for school leaders.

The No Child Left Behind Act of 2001 requires schools to analyze data and identify subpopulations and then set standards for proficiency or adequate yearly progress (AYP). A school or district that does not meet the AYP for two straight years is considered to be in need of improvement. Due to increased accountability through reform efforts, principals are being forced (if not by choice) to relate to teachers in collaborative ways.

Problematic in the principal's effort to increase student outcomes is the indirect effect of the principal on those outcomes. This was confirmed by Cheng, 1994; Heck, Larsen, and Marcoulides, 1990; Johnson, Livingston, Schwartz, and Slate, 2000; Bulach and Lunenberg, 1995; and Hallinger and Heck, 1996. A summary of findings from those studies follows.

Cheng (1994) found that strong principal leadership correlated to positive performances in these areas: (a) student self-concept; (b) attitudes toward peers, teachers, the school, and learning; (c) perception of homework overload; and (d) dropout intention. The areas indicated an indirect effect on student outcomes as they were attitudinal and were not direct indicators of student work. Heck, Larsen, and Marcoulides (1990) found that principals were able to effect student outcomes through the climate and organization of instruction, which indicated an indirect effect. The effect was not obtained through a direct principal and student relationship or interaction, but indirectly through other leadership behaviors.

Johnson, Livingston, Schwartz, and Slate (2000) found evidence from research studies that effective schools have effective leaders. The effects on improved student outcomes were achieved through internal school processes. Bulach and Lunenberg (1995)



established that school climate or student outcomes do not depend on leadership style. The findings provided evidence that the principal had no direct effect on student outcomes. Hallinger and Heck (1996), through a review of literature, found that the principal effect on student outcomes occurred indirectly through teachers.

Section One establishes increased accountability due to reform efforts and the indirect effect of the principal on student outcomes. These findings verify the necessity for principals to relate to teachers in collaborative ways. This is confirmed through an examination of the role of the principal in Section Two.

#### *Summary of Section Two*

Section Two traces the principal role from managerial leader, to instructional leader, to a leader who increases instructional capacity. Hallinger (1992) described the role of the principal as evolving from manager to instructional leader to one who increased instructional capacity. The principal role as manager and instructional leader was a top-down, hierarchical role. The role of instructional capacity builder, however, is one that employs collaboration with teachers. Cascadden's (1998) case study added empirical support for the role shift from manager to leader.

The principal can no longer lead alone and meet the requirements of accountability systems. The principal's role as one of building instructional capacity is given credence by findings from Leithwood and Jantzi (1990); Reavis, Vinson, and Fox (1999); McLaughlin and Hyle (2001); Williams (2000); Leithwood and Montgomery (1982); and Fullan (2002). A summary of those findings follows.

Leithwood and Jantzi (1990) found that the principal role had evolved to a leader who employed instructional capacity building strategies (i.e., strengthening the culture,

staff development, bureaucratic mechanisms, communication, shared power, and peer review). Reavis, Vinson, and Fox (1999) found that the principal was a collaborator between teacher and students and created an environment with open communication. McLaughlin and Hyle (2001) found that teachers believed the school environment to be that of shared decision-making.

Williams (2000) found that principals scoring higher in organizational development displayed abilities to work with teachers and established relationships that promoted growth. Leithwood and Montgomery's (1982) literature review substantiated the role of the principal as collaborator and relationship builder. Fullan (2002) emphasized the importance of developing teacher leaders to create sustained growth and defined the principal role as one of facilitating change. Section Two reviewed the role of the principal from manager to instructional leader to a builder of instructional capacity through relating collaboratively to teachers. Section Three closely examines the principal role as collaborator or instructional capacity builder. The narrowed focus of the next section includes an examination of principal influence-gaining strategies.

### *Summary of Section Three*

Section Three examines influence-gaining strategies or how the principal creates relationships that increase instructional capacity. The strategies are vast, varied, and numerous. French and Raven's social bases of power (as cited in Cartwright, 1959), later modified by Raven in 1965 (Erchul & Raven, 1997), are used to categorize the influence-gaining strategies. The social bases of power were coercive power, reward power, legitimate power, expert power, referent power (Cartwright) and informational power (Erchul & Raven). A summary of those findings follows.

Both Blase and Blase (1996) and Hipp and Bredeson (1995) reported that the principal used rewards (both tangible and symbolic) to empower teachers. This directly relates to the reward power base. Legitimate power (i.e., the teacher may feel an obligation to comply to the principal based on the principal's position) is associated with findings reported by Brock and Grady (1998). They noted that beginning teachers looked to principals for guidance and communication of teacher criteria.

Expert power is the teacher belief that the principal possesses knowledge that will be beneficial to the teacher and is associated with findings by Kirby and Colbert (1994), Blase and Blase (1996), and Blase (1997). Kirby and Colbert (1994) found that teacher access to knowledge was critical to teacher empowerment. Blase and Blase (1996) found that teacher empowerment was associated with teacher knowledge of teaching and curriculum. Blase (1997) reported that teachers associated effective principals with possessing knowledge. These findings are related to expert power, as there is evidence that the teacher believes the principal to be a source of knowledge.

Referent power is the teacher belief that both the principal and teacher are educators and can base decisions and a working relationship around this belief. Blase and Blase (1996) confirmed the teacher believed that the principal and teacher have something in common (i.e., both are educators or professionals).

The majority of strategies related to the informational power base that advocated Person B (in this case the teacher) to make individual judgments and decisions after having been influenced by Person A (in this case the principal). Instructional capacity closely relates to the informational power base, thus making these influence-gaining strategies particularly important to this review.

Findings associated with informational power are as follows. Brock and Grady (1998) noted that beginning teachers looked to principals for guidance and communication of teacher criteria. Blase and Blase (1999) found that principals used influence-gaining strategies to promote teacher reflection and communication. Short (1994) found that principals promoted teacher reflection through strategies such as facilitating teacher reflection and goal setting. Singh and Billingsley (1998) established that principal communication of expectations (another principal strategy) resulted in greater teacher commitment.

Also associated with informational power are findings from Blase and Blase (1996). They listed principal strategies that influenced teacher empowerment and promoted the exchange of informational power. Davis and Wilson (2000) found that principal strategies affected teacher motivation. Campo (1993) established that principal strategies involving decision-making and strengthening of the culture contributed most to collaboration among teachers. Again, these strategies were related to informational power.

Hipp and Bredeson (1995) found that modeling, inspiring group purpose, and providing rewards were principal strategies that were strongly associated with teacher efficacy through the informational power base. Blase (1987) provided support that principal strategies (e.g., accessibility, consistency, knowledge, clear expectations and goals, ability to manage time, and problem solving abilities) were related to improved teacher performance and informational power exchange. These findings establish that principal influence-gaining strategies are related to an informational power base.

Section Three findings confirm that principals seek to influence teachers through varied and numerous strategies. The majority of strategies relate to the informational power base that described Person A (in this case the principal) as influencing Person B (in this case the teacher) in such a way that would enable B (the teacher) to make individual judgments and decisions.

Increased accountability forced principals (if not by choice) to relate to teachers in collaborative ways to increase instructional capacity. Instructional capacity, however, cannot be obtained by the sole effort of the principal. Teachers must be contributors to capacity building by responding to principal efforts. Section Four defines a flow of influence, originally known as social exchange, and provides findings that are unsettling, as not all schools exhibit a two-way flow of influence.

#### *Summary of Section Four*

Section Four includes a theoretical examination of the flow of influence. Homans (1958), Malinowski (1926), and Gouldner (1960) documented the sociological basis of the flow of influence. Homans (1958) defined social behavior as an exchange that could be material or nonmaterial, and Gouldner (1960) described social exchange as a norm of reciprocity. Malinowski (1926) established proof of societal exchange through a study of the Trobriand Islanders who exchanged vegetables for fish. Ogawa and Bossert (1995) provided a more recent description of social exchange in an organization (e.g., a school) as a flow of leadership or flow of influence.

The next subsection, The Principal and Teacher, focuses on a one-way flow of influence from the principal to teacher. Findings from Blase (1993), Reitzug and Reeves (1992), and Firestone and Wilson (1985) substantiated the presence of such influence. A

summary of those findings follows. Blase (1993) revealed that principals used these instructional leadership strategies to influence teachers: (a) reward and praising teachers, (b) communicating expectations, (c) administrative support, (d) exercising formal authority, (e) modeling expectations, (f) maintaining visibility, (g) providing advice through informal suggestions, and (h) involving teachers in decision-making.

Reitzug and Reeves (1992) established an influence from principal to teacher through symbolic leadership. Firestone and Wilson (1995) found that bureaucratic linkages from the principal to teacher were: (a) schedules, (b) allocation of students to classrooms, (c) budgets, and (d) curriculum. The principal's cultural role developed student expectations. Reitzug and Reeves and Firestone and Wilson evidenced a flow of influence from principal to teacher. Influence was present from the principal to teacher in varied forms and methods, however no findings of shared leadership or the principal receiving influence from the teacher were noted.

The next subsection, A Two-Way Flow of Influence, focuses on a two-way flow of influence, one from principal to teacher and teacher to principal. More successful schools displayed reciprocal relationships and a two-way flow of influence. McDonald (2001) and Wolf, Borko, Elliott, and McIver (2000) found that schools with high poverty displayed success in reform efforts and indicated the use of shared leadership.

Some findings, such as those of Keedy and Simpson (2001) and Little (1982), verified an imbalance of exchange and an inconsistent flow of leadership (i.e., from principal to teacher). Hierarchical power remained in some schools as found by Keedy and Simpson. Less successful schools displayed a smaller flow of influence (Little). These findings were disappointing, as the principal must build instructional capacity to

increase student outcomes. Instructional capacity building can take place only if there is a flow of influence from the principal to the teacher and also from the teacher to the principal.

Due to increased accountability through reform efforts, principals and teachers must improve student outcomes through instructional capacity building strategies. As evidenced in Section Two, the principal role has evolved from managerial and instructional leader to one of building instructional capacity. Instructional capacity building is operationalized through collaborative relationships between teachers and principal and necessitates a dependency from the principal to teacher and teacher and principal. The principal is dependent on the teacher for instructional classroom expertise, and the teacher is dependent on the principal for leadership.

The flow of exchange must be a two-way interaction to balance the social exchange between teachers and principals. The teacher may not receive influence if not allowed to dispense influence; therefore, the principal must be both a receiver and dispenser of influence to ensure the balance.

### *Research Problem*

The research problem grounding this study was that due to increased accountability from state and national school reform efforts, the principal and teacher cannot steadily increase student outcomes in their isolated roles. A two-way flow of influence should exist between the principal and teacher to build instructional capacity.

### *Purpose of the Study*

The purpose of this study was to investigate the flow of influence in three high-achieving, high-poverty elementary schools to see in what ways social influence is

exchanged between principals and teachers and how those ways might build instructional capacity.



## CHAPTER III

### METHODOLOGY

The principal and teacher relationship is an important component of the school structure and has infinite possibilities for study (Blase, 1987, 1993; Blase & Blase, 1996, 1999). This study, however, focused on a small characteristic of that relationship—the flow of influence from the principal to teacher and from teacher to principal in ways that increase instructional capacity.

The purpose of this study was to investigate the hypothesized flow of influence in three high-poverty, high-achieving elementary schools to see whether and how social influence was exchanged between principals and teachers in ways that build instructional capacity. This study focused on high-achieving schools that have overcome student barriers and improved student outcomes.

These schools increased student outcomes and met the Commonwealth Accountability Testing System (CATS) goals over the last two biennia. They, in addition, continuously overcame barriers due to high levels of student poverty (i.e., exceeding the state average of free and reduced lunch rate).

The two central research questions were:

1. In what ways do principals and teachers in high-achieving, high-poverty schools exchange social influence? and
2. How might this exchange increase instructional capacity building?

## Research Design

This study adopted the same rationale for research design as Wolf, Borko, Elliot, and McIver (2000), “. . . we wanted schools with diverse populations of children, where we would have to look deeper than surface explanations for why good things were happening” (p. 358). Qualitative research covers several forms of inquiry that help the researcher gain meaning of social happenings in the original context or setting (Merriam, 1998). The qualitative researcher “. . . seeks answers to their questions in the real world” (Rossman & Rallis, 1998, p. 5).

The case study design was used so that the researcher could closely examine underlying sociological factors that might be related to increased student outcomes. Other methodological approaches would not afford the researcher the same investigative opportunities as the case study design. The case study afforded the researcher opportunities to observe interactions, relationships, and communication between subjects. These observations could not be obtained through the use of a questionnaire or survey. The case study allowed an in-depth analysis of the phenomenon to be studied, the flow of influence between the principal and teacher.

Rossman and Rallis (1998) described the case study as an effort to “. . . understand a larger phenomenon through close examination of a specific case and therefore focus on the particular” (p. 70). Inductive investigations allowed the researcher to analyze parts to form the whole. Parts of the case to be studied could include the meaning placed on events by the people involved, mining of applicable on-site documents, and observations of people interactions. Merriam (1998) stated that, “In contrast to quantitative research, which takes apart a phenomenon to examine component

parts (which become the variables of the study), qualitative research could reveal how all the parts work together to form a whole” (p. 6).

Miles and Huberman (1994) defined the case as “. . . a phenomenon of some sort occurring in a bounded context. The case is, in effect, your unit of analysis” (p. 25). The case study has a bounded focus and within that focus there is the “. . . heart of the study” (p.25). For the purpose of this study, the school was the case and its focus was the flow of influence from principal to teacher and from teacher to principal (i.e., one component of the principal and teacher relationship).

The researcher gained an understanding of the principal and teacher relationship that could not be obtained through other methodological procedures. This qualitative method allowed for indepth understanding of the context and time frame of the case studied. Merriam (1998) further elaborated on the benefits of a case study design:

A case study design is employed to gain an in-depth understanding of the situation and meaning for those involved. The interest is in process rather than outcomes, in context rather than a specific variable, in discovery rather than confirmation. Insights gleaned from case studies can directly influence policy, practice, and future research. (p. 19)

The researcher was the instrument for data collection and analysis. Merriam (1998) described this as mediating data “. . . through [the] human instrument, the researcher, rather through some inanimate inventory, questionnaire, or computer” (p. 7). The researcher had the opportunity to respond to context, observe nonverbal aspects of the environment, and process data immediately. These investigative procedures revealed insights into the underlying success factors with students with high poverty (i.e., students with barriers to learning). A participant point of view was needed to understand phenomenon and was obtained by researcher interaction within the naturally occurring

circumstances. The case study approach afforded the researcher these opportunities. Interpretive research with a comparative case study dimension was used for this study. A description of this research design follows.

In interpretive research studies, Merriam (1998) stated that education was “. . . considered to be a process and school is lived experience” (p. 4). Data, therefore, were obtained inductively from that “process” in a real setting. In contrast to this method was to consider the school an object and studied as such; therefore, the results could be reported in quantified measures. For the purpose of this review, the interpretive research method was used to understand individual perspective by generating thick descriptions of the views of individuals in that social setting (Rossman & Rallis, 1998).

Interpretive case studies contain rich, thick description (Merriam, 1998). Miles and Huberman (1994) described this as a strength because the data was complex and “. . . nested in a real context, and ha[d] a ring of truth that impact[ed] the reader” (p. 10). In the interpretive case study, the data were used to “develop conceptual categories or to illustrate, support, or challenge theoretical assumptions held prior to the data gathering” (Merriam, p. 38). This research design included a study of three schools (the case), which is known as a comparative case study or cross-case analysis. A comparative case study includes multiple sites and involves data collection and analysis from those sites. Miles and Huberman (1994) described the comparative case study generalizability as “. . . generalizing from one case to the next on the basis of a match to the underlying theory, not to a larger universe” (p. 29). They continued to add reasoning to selection of the comparative case study by stating that it “. . . can strengthen the precision, the validity, and the stability of the findings” (p. 29). Within the case study, one small slice

of the principal and teacher relationship was studied—the flow of influence from the principal to teacher and from teacher to principal in ways that increased instructional capacity.

### Procedures

The researcher selected a purposeful sample. According to Merriam (1998), purposeful sampling “. . . is based on the assumption that the investigator wants to discover, understand, and gain insight and therefore must select a sample from which the most can be learned” (p. 61). Schools with barriers to learning (i.e., high-poverty rates) and that met or exceeded accountability goals have demonstrated abilities to overcome those barriers and have increased student achievement. For that reason, schools with high poverty and high student achievement were targeted for this study. A purposeful sample was needed to study schools within these criteria. The focus of this study was the flow of influence from the principal to the teacher and from the teacher to the principal in ways that increased instructional capacity.

Miles and Huberman (1994) reported that a feature of qualitative sampling was that “. . . researchers usually worked with small samples of people, nested in their context and studied in-depth . . . ” (p. 27). There was no recommended number of cases to include in the sample. Decisions could be made based on the “. . . questions being asked, the data being gathered, the analysis in progress, the resources you have to support the study” (Merriam, 1998). Three cases were included in this study due to the need for a cross-case analysis of data from the multiple sites. The case, or unit of analysis, was the high-poverty, high-achieving Kentucky elementary school.

Site selection was based on four criteria. First, schools must have met or exceeded the accountability goal for the past two biennia. Data from the Kentucky Department of Education were used to compile a list of the schools meeting that criterion. Next, the school must have a high poverty rate based on the state average of percentage of students qualifying for free and reduced lunch rates. According to S. Bartinfield (personal communication, February 13, 2004), an average of 51% of Kentucky students qualified for free and reduced lunch as of January 2004. Schools selected for this study must be at or above this state average (i.e., 51%). This rate was used as the second criteria for site selection.

The tenure of the principal was the third criteria used in the selection process. The principal must have been at the school the last three years. The gender of the principal was not considered. The fourth criterion included the willingness of the principal and teachers to be a part of the study. The researcher communicated the purpose of the study to principal and teachers through (a) an introductory letter, (b) a phone call to the principal, (c) a presentation to the faculty, and (d) small group meetings with the principal and teachers to answer questions and provide more detailed information regarding the study. These strategies assisted the researcher in obtaining participation from the principal and teachers and also established a rapport with staff that was beneficial throughout the entire study.

Each of the three schools in this study (a) met or exceeded CATS accountability goal, (b) had over 51% of students that qualified for free and reduced lunch, (c) had a principal with a tenure of three years or more, and (d) the principal and teachers were willing to participate in the study.

### *Gaining Entry*

The study proposal was submitted to the University of Louisville (U of L) Institutional Review Board preceding any contact with district or school administrators. Following approval from U of L Human Studies Committee, the study proposal was submitted to the Western Kentucky University Institutional Review Board. Approval from the two Institutional Review Boards, respectively, indicated that the study proposal did not present a problem with the violation of human rights. The researcher submitted verification of Collaborative IRB Training Initiative (CITI) certification to both Institutional Review Boards as part of the proposal review process.

An introductory letter was sent to superintendents and principals inviting the selected schools to participate in the study. A phone call was made to each superintendent to briefly describe the study. The study proposal and consent form were mailed to the superintendent. After gaining permission and collecting the consent form from the superintendent, the researcher then contacted the principal and a like procedure was followed.

Following permission from superintendents and principals and collection of consent forms, the researcher made contact with the teachers by sending an introductory letter that (a) described the study, (b) introduced the researcher, and (c) explained the use of the findings. The researcher made presentations at faculty meetings and explained the study design, answered any questions, and presented teacher consent forms.

### **Data Collection**

Data collection consisted of interview, norm checklist, observation, and document mining.

## *Interviews*

Semistructured interviews were conducted with the principal and teachers.

*Questions.* Merriam (1998) described good questions as the essence of good interviewing. To obtain good data the researcher must ask good questions. The questions were structured to reflect the focus of the study. The research questions (i.e., the focus of the study) were used as a guide to develop interview questions. They were:

1. In what ways do principals and teachers in high-achieving, high-poverty elementary schools exchange social influence? and
2. How might this exchange increase instructional capacity building?

A pilot interview was arranged with a cooperating elementary school to the teacher education program at the local university. The purpose of the pilot interview was to test questions for clarity and the amount of usable data obtained from the questions. Questions that led to confusion or did not glean usable data were either reworded or discarded. An interview guide (i.e., a list of questions) was prepared to better equip this novice researcher (Merriam, 1998). Various types of questions were included on the interview guide. They included (a) specific questions, (b) open-ended questions, (c) probes, and (d) questions in other areas that could lead to usable information (Merriam).

*Principal interview.* The principal was interviewed on two separate occasions.

Interview One focused on the following questions:

1. Could you tell me about yourself?
2. What is your role as principal?
3. What are your best leadership qualities?



4. How would you describe this school?
5. What are the mission and goals of this school? and
6. What will this school be like when the goal of an accountability index of 100 is reached?

Interview Two focused on the following questions:

1. How do you help teachers improve student outcomes?
2. How do you go about improving instruction?
3. How do you communicate with teachers?
4. How do teachers communicate with you?
5. How do you involve teachers in the decision-making process?
6. What role do you have in curriculum development?
7. What changes have taken place since you have been principal?
8. In what ways do teachers influence you?
9. In what ways do you influence teachers?

The researcher recorded the interviews using an audiocassette recorder and also took written notes. A research assistant transcribed the data. The principal was asked to review the data for accuracy and clarity. All school identifiers and the principal name were removed, and codes or pseudonyms were assigned to the data.

*Teacher interview.* A list of teachers with tenure of three years or more was generated. A random sample of five teachers was taken from the list with a representation of (a) the primary program (i.e., entry level through fourth level of primary); (b) intermediate grades (i.e., four, five, or six); and (c) special area programs (music, art, or physical education). Participation in the interviews was voluntary. The teachers were

interviewed individually either after school hours or during planning times. Teacher confidentially was assured, and a pseudonym was assigned to the data. Teacher interview questions that were used as a starting point for the interview follow:

1. How does the principal influence you in ways that improve teaching and learning?
2. How do you influence the principal in ways that improve teaching and learning ? and
3. What norms best describe your relationship with your principal?

During the pilot interview the interviewer determined a need to paraphrase or restate teacher question number three (i.e., What norms best describe your relationship with your principal?). The restated question was:

If I were observing in your school and no one could see me, what principal behaviors would I observe?

The pilot study also aided the interviewer in determining that for any probing questions the word exchange would be used instead of the word reciprocal. The probing question, Could you give examples of how the flow of influence is reciprocal?, was changed to, Could you give examples of how the flow of influence is exchanged?

The researcher recorded interviews using an audiocassette recorder and also took written notes. Each week a research assistant transcribed the data. A member check was conducted with several teachers from each school providing opportunities to review the data for accuracy and clarity.

On-site interviewing days allowed the categories to emerge, and follow-up questions were asked to the principal and teachers to add to the depth of the data. The researcher followed the advice of Rossman and Rallis (1998) and was disciplined to

“ . . . log the day’s activities, noting the date, what you did, names, times, and places. Write down attendance at events, chronologies, descriptions of settings and maps of settings. Do not rely on your memory, which several months into a study, will (more than likely) fail you.” (p. 173)

### *Norm Checklist*

The researcher created a norm checklist from the interview data for the three schools. Groups of five teachers per school reviewed the norms resulting from question three and clarified the wording. The intent was to ensure that the norms were worded clearly and without any slang terms that would be confusing to respondents.

The checklists were administered to teachers in each school. Instructions were to indicate (a) a “yes” answer to norms that were operational, (b) a “no” answer to norms that were not operational, and (c) an “uncertain” answer to norms about which the respondent was unsure (Keedy & Simpson, 2001). The data findings are organized in Table 2.

**Table 2**

Norm Checklist Data

| School  | #Teachers | #Norms | TRR <sup>a</sup> | TAR <sup>b</sup> | PNA <sup>c</sup> |
|---------|-----------|--------|------------------|------------------|------------------|
| Jackson | 38        | 16     | 100%             | 93%              | 100%             |
| Brandon | 20        | 16     | 100%             | 84%              | 100%             |
| Joseph  | 23        | 16     | 100%             | 98%              | 100%             |

*a.* Teacher Response Rate: total of actual teacher responses divided by total of possible responses.

*b.* Teacher Agreement Rate: total positive teacher responses divided by total actual responses.

*c.* Percent of Norms Agreed Upon: norms agreed upon by at least 70% of each school's respondents. (Keedy & Simpson, 2001)

*Observation*

The researcher observed principal and teacher meetings (e.g., faculty meetings and grade level planning meetings) in which the principal was present to gather more data pertinent to the research questions. These observations were recorded using field notes. The field note taking included objective, factual notes along with marginal notes that included the researcher's thoughts, impressions, and connections to the data obtained earlier in the study. A research assistant transcribed the data.

*Document Mining*

The researcher searched various school documents made available by the principal for data that addressed the research questions. Documents included (a) school report cards, (b) comprehensive school improvement plans, and (c) scholastic audit reports.

## Data Analysis

The within-case data analysis (Merriam, 1998) focused on data from each case separately. First, the researcher analyzed data from teacher responses to question one and two: (a) How does the principal exchange information with you that improves teaching and learning?; and (b) How do you exchange information with the principal that improves teaching and learning?

According to Merriam (1998), moving beyond basic data description included “. . . constructing categories or themes that capture some meaning . . .” (p. 179). Similar characteristics of data were analyzed until categories could no longer be generated. Teacher interview data were analyzed for “. . . teacher interpretations of principal actions” (Keedy & Simpson, 2001). The principal actions were first taken from principal interview data and then confirmed by teacher interpretation.

The norm checklist results were calculated based on three categories: (a) number of teachers responding, (b) total positive responses divided by total responses, and (c) percent of norms agreed upon by at least 70% of respondents (Keedy & Simpson, 2001).

### *Within-Case Data Triangulation*

Data from the principal and teacher interviews and the norm checklist were triangulated to establish an exchange of influence. To determine the flow of influence from principal to teacher, the researcher triangulated data from (a) principal interview data, (b) teacher interview data, and (c) the norm checklist data. The same process was used to identify the flow of influence from teacher to principal. These within data analyses created the “cases.”

### *Cross-Case Analysis*

After the analysis of each case was completed, the cross-case analysis (i.e., comparative method) was conducted. According to Merriam (1998), “A qualitative, inductive, multicase study seeks to build abstractions across cases” (p. 195). Yin (as cited by Merriam, 1998) described the researcher role in cross-case analysis as attempting “. . . to build a general explanation that fits each of the individual cases, even though the cases will vary in their details” (p. 195). All principal and teacher exchanges of influence were summarized and displayed on a matrix (i.e., results from the within-case analyses). Confirmation of these data was obtained through the norm checklist data, and this was also summarized and displayed on the matrix.

The researcher analyzed data from the three cases summarized on the matrices. Themes and categories were constructed inductively through the constant comparative method of data analysis. As described by Merriam (1998), “. . . the heart of this method is the continuous comparison of incidents, respondents’ remarks, and so on, with each other” (p.179). The data were sorted into groupings that had something in common. Lincoln and Guba (as cited in Merriam, 1998) stated that a unit of data must have two criteria: (a) it should be relevant to the study, and (b) it must be interpretable and have meaning even though it has been removed from the context.

The data groupings from the three cases were merged onto matrices (Miles & Huberman, 1994). A search was conducted through all existing data for additional units of data relevant to the study. Both inductive and deductive analyses were utilized at this point in the data analysis. The data were reduced and refined and “. . . linked together by tentative hypothesis” (Merriam, p. 192). Merriam further described this level of analysis

as “. . . transcend[ing] the formation of categories . . . seek[ing] to explain a larger number of phenomena and tell how they are related” (p. 192).

### *Trustworthiness*

Educators must have confidence in the results, and this can be obtained only through the trustworthiness of the study. Merriam (1998) stated, “Being able to trust research is especially important to professionals in applied fields, such as education, in which practitioners intervene in people’s lives” (p. 198). The following methods contributed to the trustworthiness of the study.

*Triangulation.* Triangulation or “. . . more than one method to study the same thing” (Vogt, 1999, p. 295) was used in the methodology of this study. Data collection methods included (a) principal and teacher interviews, (b) norm checklist, and (b) observation. According to Rossman and Rallis (1998), triangulation helps establish the truth claim (i.e., provide a truthful account of participant views) of qualitative research.

*Member checks.* Rossman and Rallis (1998) claimed that member checks “. . . help establish the truth claims of qualitative research” (p. 45). Merriam (1998) described member checks as taking the data back to the person from whom it was derived and requesting that person to check for accuracy and clarity. Member checks were employed throughout the study following the (a) principal interview, (b) teacher interviews, and (c) compilation of the norm checklist.

*The investigator position.* According to Merriam (1998), the researcher should “. . . explain the assumptions and theory behind the study, his or her position vis-à-vis the group being studied, the basis for selecting informants and a description of them, and

the social context from which data were collected” (LeCompte & Preissle, as cited in Merriam, pp. 206-207). This researcher provided information to study participants through (a) introductory letters to the superintendent, principal, and teachers; (b) explanatory phone calls to the superintendent and principal; (c) faculty meeting presentation; and (d) informal group meetings with the principal and teachers for further clarification and a question and answer session.

*Multiple methods.* Another strategy for ensuring trustworthiness was the use of multiple methods for gathering data (Rossman & Rallis, 1998). This researcher used interviews, observations, norm checklists, and document mining for data collection.

*Process documentation.* Rossman and Rallis (1998) recommend to “. . . document assiduously the process of gathering, analyzing, and interpreting the data” (p. 47). The researcher will keep a log to note daily activities and to chronicle descriptions of events. This process contributed to the trustworthiness of the study (Rossman & Rollis, 1998).

*Cross-case analysis.* Using multiple sites allowed the results “. . . to be applied to a greater range of other situations” (Merriam, 1998, p. 212). It increased the generalizability of the results. According to Miles and Huberman (1994), another reason for the cross-case analysis was to “. . . deepen understanding and explanation” (p. 172). This case study design included three Kentucky elementary schools that met five criteria as outlined by the researcher.

*Generalizability.* Two strategies enhanced this study dimension. First, using multiple sites increased the generalizability of the results (Merriam, 1998). Second, Miles and Huberman (1994) listed questions that could be applied to determine increased



generalizability. The questions that were related to this study and supported the generalizability of the study were as follows:

1. Are the characteristics of the original sample of persons, settings, processes (etc.) fully described enough to permit adequate comparisons with other samples?
2. Do the findings include enough “thick description” for readers to assess the potential transferability, appropriateness for their own settings? and
3. Does the report suggest settings where the findings could be fruitfully tested further? (Miles & Huberman, 1994, p. 279)

Constant comparative analysis was utilized throughout the data analysis, thus contributing to generalizability. Merriam’s (1998) explanation follows:

“... categories and their properties are reduced and refined and then linked together by tentative hypothesis, the analysis is moving toward the development of a theory to explain the data’s meaning. This level of analysis transcends the formation of categories, for theory seeks to explain a large number of phenomena and tell how they are related” (p. 192).

*Rich, thick description.* Merriam (1998) described rich, thick description in qualitative research as “Words and pictures rather than numbers [being] used to convey what the researcher has learned about a phenomenon” (p. 8). Rossman and Rallis (1998) noted that rich, thick descriptions contributed to the usefulness of a study. “Potential users can then determine for themselves if your results will be of use in a new but similar setting” (Rossman & Rallis, p. 47).

The researcher’s use of semistructured interviews allowed for proving questions to be asked that contributed to the collection of rich, thick descriptions of the phenomenon being studied. Also, contributing to rich, thick data collection were

(a) teacher input during norm checklist clarification, (b) observations of principal and teacher meetings, and (c) principal and teacher check of transcribed interview data.

#### Limitations of the Study

The limitations of the study included the small number of schools (i.e., three Kentucky elementary schools). According to Miles and Huberman (1994), “Qualitative researchers usually work with small samples of people, nested in their context and studied in-depth” (p. 27). The sample was typical of case study design as described by Miles and Huberman “ . . . one cannot study “everyone everywhere doing everything” (p. 27). To identify boundaries for the study, the researcher established selection criteria that connected directly to the research questions. The richness of the data and depth of information offset the small number of schools in the sample.

## CHAPTER IV

### RESULTS

The results for each of the three cases: (a) Jackson Elementary School, (b) Brandon Elementary School, and (c) Joseph Elementary School are presented below. The following format is used to organize the findings of each case: (a) school context, (b) case analysis, and (c) case interpretation. The context provides a description of the school setting, demographics, and principal background. Case analysis includes themes and categories that emerge from the data; categories provide examples from the data that contributed to the richness of the findings. The case interpretation presents an analysis of the themes and how they contributed to instructional capacity building that improved student outcomes. Pseudonyms are assigned to ensure subject confidentiality.

#### Jackson Elementary School Teachers and Principal Glen

Collectivity, motivation, and high expectations produced an environment in which the principal and teachers exchanged influence while functioning as resources for each other.

#### *School Context*

This central Kentucky elementary school opened in 1995 and was built as a result of growing district enrollment. The school served a student population of nearly 700 students ranging from preschool to sixth grade. Sixty-six percent of students qualified for free and reduced lunch. Fifteen different languages were represented among the student population. The Limited English Proficiency (LEP) program enrolled approximately 125

students and provided specific instruction to help those students become successful in the English speaking classrooms. Despite the barriers to learning, Jackson Elementary School exceeded the CATS accountability goals for the last two biennia. School initiatives included: (a) schoolwide Title I, (b) a Family Resource Center, (c) Bully Prevention Program, (d) conflict resolution curriculum, (e) schoolwide discipline plan, (f) student incentives and rewards, and (g) LEP program. The school employed 60 classified and certified staff.

Although the school district was located in a rural area of central Kentucky, Jackson Elementary School was built in one of the most populated areas of the district. Home to Jackson Elementary was a town with a population of 49,296 and a county with a population of 95,778. The newly built school facility was nestled between two industries, a church, and several small businesses. Upon entering the school, there were welcoming signs; brightly colored murals including symbols of the school namesake (a landmark located close to the school); student work posted on the walls; and trophy cases housing student awards, recognition plaques, and certificates. A banner was displayed in the front hall that included the school mission statement, "Together We Are Better With P.R.I.D.E."

The first faculty of Jackson Elementary was comprised of teachers who transferred from other schools in the district in addition to other teachers who were hired as enrollment increased. All teachers were certified and teaching in their field of study. Teachers operated in teams according to their grade level. The teams planned instruction and analyzed student work regularly.

Out of Principal Glen's 12 years in education, he served 4½ of those years as Jackson Elementary principal. He began his teaching career as a physical education teacher in another school in the same district. He transferred to Jackson Elementary School as a physical education teacher and then was appointed assistant principal. Upon the promotion of the principal to a central office position, Glen began his tenure as principal of Jackson Elementary School.

### *Case Analysis*

The four themes that emerged from the data were: (a) Collectivity, (b) Motivators for Success, (c) High Expectations, and (d) A Resource for Others. Categories derived from the themes are organized in the matrix (see Table 3). Results from the Principal Norm Checklist are integrated throughout the categories and are provided in Appendix A.

**Table 3**

#### Principal Glen and Jackson Elementary School

| Theme                  | Categories   |
|------------------------|--|
| Collectivity           | A need for each other<br>Care and respect for each other           |
| Motivators for Success | Student focus<br>Prior experiences<br>Need to be lifetime learners |
| High Expectations      | Goal setting<br>No-excuses environment                             |
| A Resource for Others  | Collaboration  |

Principal and teachers informed each other

Shared decision-making

---

### *Collectivity*

Collectivity, a prerequisite for the principal and teacher exchange of influence, provided the foundation for the principal and teacher relationship needed for the exchange of influence. The characteristics of Collectivity are presented in the following categories: (a) *a need for each other* and (b) *regard for others*.

*A need for each other.* The principal and teachers expressed a need for each other. Glen pointed out that he did not want “. . . a mentality that there is the administration and then there are the teachers.” He wanted an “. . . us mentality” (JP-I1-U60). The “us mentality” indicated a collective effort between the principal and teachers.

The method used to develop the school vision statement further demonstrated a collective effort. A committee of 19 teachers and parents was invited to school during Christmas break. Glen gave a brief introduction and then asked the committee to develop a school mission statement. The statement “Together We Are Better with P.R.I.D.E.” was the result of the team effort (JP-I2-U18). The word “together” was indicative of the value placed upon togetherness. The mission statement was displayed on a banner in the front hall to be viewed by all who entered the building. It was also posted throughout the building and printed on various school documents. This mission statement reflected the belief that by working together more can be accomplished, which seemed to be deeply embedded into the school culture.

Glen used the word “togetherness” to describe the school environment. He said, “We have a sense of togetherness that has evolved in our 4½ years”(JP-I1-U12). He indicated that togetherness happened over a period of time and was not instantaneous. This sense of togetherness indicated a need for each other. One cannot accomplish what needs to be accomplished without the other.

The principal voiced a need for the teachers and knew that his positional authority alone could not improve student outcomes. “I do not stand up and say that I am the principal. I say, ‘Here is what I think. Now, what do you think?’” (JP-I2-U14). Ms. Comer, a sixth grade teacher, concurred: “He is very much into unity. I think that is probably the biggest thing, we are a team in this building,” (JT5-I1-U24), implying that she perceived herself as a needed and valued member of the team.

Glen did not allow other people to compliment only him for school achievement without drawing attention to teachers. On one occasion he shared school test scores with a person outside of the school community and was congratulated for such high achievement. Glen quickly interjected, “Do not congratulate me. I am not responsible. It is the teachers and students who deserve all the credit . . . not me” (JP-I4-U40). Glen believed that teachers and students did the work to achieve—not him.

Glen purposefully made it part of the culture to draw attention to the teachers and students. He made it known that the high achievement at Jackson Elementary was due to people other than himself. He was aware that improved student outcomes did not occur by the sole effort of the principal.

Teachers recognized the collective effort among the principal and teachers. They viewed the principal as participating in daily activities that seemed more teacher oriented, as described by Ms. Marrs, a primary teacher:

Mr. Glen is one of us. He really is one of us. He does not sit in his office and just talk on the phone to central office or whatever he needs to be doing with papers and documents. He is in the hallways, classrooms, lunchroom, and is on car duty. (JT6-I1-U26)

This perception affirmed collectivity at Jackson Elementary. Ms. Marrs also described the principal as a partner. As described by one teacher, “Everyone looks at Mr. Glen as a partner. He is one of us. He is a partner” (JT6-I1-U28).

These data indicated that both the teachers and the principal recognize the joint partnership. In a partnership, both participants are needed. The use of the word “partnership” to describe the principal and teacher relationship confirmed that both the principal and teachers were needed members of the team.

Teachers knew they needed the principal to provide the resources used to teach students. To obtain teaching resources in addition to regularly purchased materials, the teacher ordinarily must ask Glen. Teachers were not hesitant to ask for what they needed. They predicted that Glen’s response would be to purchase the resources, which indicated that the principal trusted them. Ms. Guinn, a special education teacher, stated that the principal would purchase whatever she needed for her math, writing, and reading groups because he knew she would use them (JT4-I1-R30).

Obtaining resources indicated collectivity among the principal and teachers through the following exchange: teachers needed Glen to provide funding for resources and Glen needed the teachers to ask for what they needed.



*Care and respect for each other.* Professional and caring relationships expressed a spirit of collectivity through principal and teacher care and respect for each other. The principal and teachers cared about each other's family difficulties, sicknesses, and other personal problems. Glen described this as one of his best leadership qualities: "I guess nobody knows how much I care about the teachers that work here and the kids that are educated here. I am constantly thinking about what I can do to make things better for both groups" (JP-I1-U34).

Glen demonstrated a care and respect for teacher well being when describing his role as principal: "My role is to support my teachers" (JP-I1-UI). Ms. Marrs expressed appreciation for Glen's daily support and gave the following example: "... he stopped by and opened the door and asked if I was alright or if I needed anything. I thought that was pretty neat. He just stopped by to see if I needed anything" (JT6-I1-U27).

The teachers expressed appreciation for Glen's understanding and support during personal circumstances such as a sickness or family difficulties. Ms. Winton explained, "Mr. Glen is going to support you if you have a problem here at school or if you have problems in your own life. To me, that has been a big plus" (JT2-I1-U23). Teachers viewed Glen as a "... family oriented person" (TA3-I1-U39). One teacher noted, "I have never had a family problem that he did not offer understanding and support in a professional manner" (TA3-I1-U40).

Teachers also expressed concern for Glen. Mr. Basil expressed this when referring to Glen's first few months as principal: "He was probably on the verge of quitting" (JT3-I1-U50). Basil then encouraged Glen by advising him to develop a vision for the future. Ms. Marrs also observed, "Mr. Glen seems more relaxed now than when

he began as principal. He is more calm and he has a better rapport with the teachers. I think experience has helped him” (JT6-I1-U51).

The teachers and principal also displayed a respect for each other. During a grade level planning meeting, Glen vocalized his respect for the teachers. The teachers were analyzing CTBS data and subsequently setting goals. Glen asked the teachers, “Do you have a number that you want your students to reach?” (JP-O2-U35). The teachers discussed specific numerical targets and expressed concern about the achievement level of their students. Glen told the teachers, “You know I respect you, and I have faith and confidence in you. You can do better with one leg tied behind you than most could do with both legs” (JP-O2-U36). Glen assured them that the principal and teachers collectively would overcome obstacles that might hinder improved student outcomes.

Prior to the implementation of new instructional strategies, teacher commitment was obtained, which demonstrated a respect for teachers. Glen declared, “No matter how much I wanted to implement the new strategy, no matter how much it needed to be, if the teachers did not decide to do it, we still would not be there” (JP-I2-U19). An example of this was the Reading Mastery Program. After researching the program, Glen wanted teachers to use this strategy to improve teaching. Teachers decided to implement the strategy but knew if they had decided against it, that Glen would have supported the decision. Mr. Basil, a third grade teacher, explained, “I believe if the teachers would have balked at this reading program, we would not be doing it right now. I really do not think he would have shoved it down our throats” (JT3-I1-U41).

Teachers gained respect for Glen through his diligence in increasing his knowledge about instruction. Teachers noted that he researched instructional strategies

and informed teachers of the findings (TA2-I1-U38). Ms. Winton, a fourth grade teacher, expressed, “I have a high respect for Mr. Glen; I respect him a lot and I believe that when your teachers respect you, they are going to do all they can for you.” (JT2-I1-U37).

### *Motivators for Success*

Motivators for success (e.g., student focus, prior experiences, need to be lifetime learners) inspired the exchange of influence between the principal and teachers.

*Student focus.* Both the principal and teachers affirmed that students were the first priority of Jackson Elementary School; a student focus directed decisions and created the purpose for success. Glen wanted all students to be successful (JP-I1-M10). He stressed that no one could know or understand how much he cared about the students who were educated there (JP-I1-M5).

Glen believed one of his missions in life was to help all children at Jackson Elementary School become successful (JP-I1-M50). Jackson Elementary was comprised of a student population with barriers. The poverty rate, or number of students qualifying for free and reduced lunch, was 66%; and the number of students qualifying for Limited English Proficiency programs was among the top in the district. Glen was motivated by these challenges and was firm in the belief that the children at Jackson were as capable as those without such barriers. After being congratulated on the achievements of his student population, he quickly interjected, “That is exactly what I am trying to get people not to say. The second someone says ‘your’ population, you are creating an excuse. They are kids, our kids, and when it comes to performance I never say ‘our’ population” (JP-I3-M17).

Others noted that Glen possessed a student focus that was a motivator for success. The Prichard Committee for Academic Excellence, an independent group of Kentucky citizens who work to improve education, conducted a study at Jackson Elementary School. The school qualified for the study based upon their high performance despite the high poverty level. The results indicated that the principal possessed a strong student focus: “The leadership consistently demonstrates that student success is the focus of all decisions” (JS-D2-PCR-M12).

Teachers were also aware of Glen’s student focus, as indicated by Ms. Comer:

I knew what he was about, I knew what he stood for. It is all about the students. Students are always first, no matter what. That is our job; that is what we are here for and he loves these children dearly and he wants to put them first because the school is 66% at risk and because there is a revolving door—they are in and they are out and then they are back again. (JT5-I1-M13)

Ms. Guinn also described the principal as really caring about her children and then added, “. . . and that is something that means a lot” (JT4-I1-M15).

Not only did the principal possess this focus, but also the teachers demonstrated a strong student focus as a motivator for success. Glen affirmed the teacher motivation:

“Many of the teachers say it is a mission to work here” (JP-I1-M11). During an interview, a teacher became emotional about student barriers to learning. She broke down to tears when reflecting upon student needs and the obstacles to learning they face. Ms. Winton reflected upon public opinion toward high poverty and high achievement: “People think that if you do not have money, you are not going to be able to achieve. We have proven them wrong” (TA2-I1-M18).

Student focus guided the dialogue between the principal and teachers in a grade level planning meeting. Teachers recognized challenges and voiced their concerns. As

voiced by Ms. Downing, a third grade teacher, even though barriers existed, there were reasons to move ahead: “I do think there is great potential among our students (JP-O2-M19). Mr. Basil indicated a commitment to improved student outcomes regardless of barriers: “We are not going to quit” (JP-O2-M20).

*Prior experiences.* Prior experiences for both the principal and teachers were motivators for success. Principal Glen shared his educational experiences at the first faculty meeting of the year. He reflected upon his personal educational experience as a child: “School was not a good thing for me” (JP-I1-M2). He said, “There were very few teachers that inspired and encouraged me” (JP-I1-M1). An example he used to illustrate this was a comparison of what he had labeled as his “worst teacher” to his “best teacher.” Jackson Elementary faculty knew these teacher names by memory and the stories associated with them (JS-FM-M17). It was evident that Glen had shared this with teachers several times.

Glen credited these instances as shaping his beliefs about education and becoming a motivator for success. His own education did not bring to mind many good memories as he recalled teachers that he perceived as not caring about students. He fondly remembered, however, one teacher who helped him overcome barriers to learning. The contrast of the worst teacher of his life with the best teacher of his life became foundational in determining the teacher characteristics he perceived necessary for increased student achievement.

Teachers also were influenced by prior influences, particularly by former principals with whom they had worked. Ms. Winton related her experience, “Other principals did not care about your life outside of school. I think it is important that you

have a mutual respect for each other” (TA2-I1-M21). This teacher appreciated Glen’s caring attitude because of a negative influence from her former principal. Norm 3 also supported the evidence that the principal motivated the teachers by sharing his prior experiences, and the teachers passed on the same motivation to the students.

Mr. Basil was also influenced by other principals: “I have had principals in the past that whatever the ‘buzz word,’ whatever the program of the day, you did it. And if it did not show immediate results, then you threw it out and you tried something else” (TA3-I1-M22). This prior experience motivated the teacher to value Glen’s ability to research and gain knowledge about instructional strategies.

*Need to be lifetime learners.* The need to be lifetime learners motivated the teachers and Glen. In the high-stakes accountability system, the principal and teachers needed to keep improving instructional strategies so all children would be successful.

Glen knew from the beginning of his principalship that his instructional expertise was limited due to his past educational experiences as a physical education (PE) teacher. He described PE as a valuable profession but expressed concern about his knowledge in other curricular areas at the time he became principal. He asked, “Why should a teacher that has been teaching 15 years and is successful listen to me?” (JP-I1-M4). This contributed to his drive to become more informed about the curriculum in all grade levels and was a motivator for success.

Principal Glen was motivated to be a lifetime learner by a fear of misleading others. He declared, “My fear of failing and leading the school into failing drives me. It scares me to death to think the school might not do good and it is going to be my fault” (JP-I1-M3). This fear was a motivator for Glen as he strove to educate himself so he

could lead others to become successful. Glen must, therefore, be a lifetime learner to lead effectively.

Teachers also realized the need to be a lifetime learner. Mr. Basil noted: “I obviously do not know everything that goes on or everything about teaching” (TA3-I1-M23). Ms. Marrs recalled the need to become more informed about an instructional strategy: “I got on the internet and I did a lot of research . . . “ (JT6-I1-M24). Realizing the need to become more informed and to be a lifetime learner was a motivator for success.

A lifetime learner is comfortable with venturing into the unknown and learning through trial and error. The culture at Jackson Elementary was one that encouraged people to try new strategies even if they might make mistakes while doing so. Making mistakes was acceptable if something could be learned from them. Ms. Ford relayed what the principal told the faculty about making mistakes: “Like he tells us in the faculty meetings, we are together on this. If things do not work out just right, we will just hang on together and keep working” (JTI-I1-U32). Glen made it clear as to what was not acceptable: “. . . to make the same mistake repetitively, over and over, and to have a mindset that it is all right to do that” (JP-I1-E2).

Glen explained, “If something works, then great, if not, we can tweak it and punt. We will do whatever we have to do to get back on the right path and learn from our mistakes” (JP-O1-M6). Teachers and the principal were encouraged to try new strategies—to be lifetime learners.

### *High Expectations*

The principal and teachers exhibited a need to exchange influence due to high expectations expressed through goal setting and a no-excuses environment.

*Goal setting.* The teachers and principal possessed a focus on achievement, as reported by the Prichard Committee study: “Jackson Elementary had established a focus on achievement that supported the belief that all children can learn at high levels” (JS-PCR-E14). These results validated that the principal and teacher possessed high expectations for student learning and created a need to set goals.

Principal Glen and teachers set goals for Jackson Elementary, as explained by Glen: “We will not let the success of the school happen by chance” (JP-I1-E3). They sought to become better informed of what was required of schools. Glen added, “We simply go out and understand the state’s game plan and see that our practices meet those demands. We are very deliberate about that” (JP-I1-E4). Glen enjoyed this process and acknowledged that he loved being a part of sharing that information and setting goals with the teachers (JP-I1-E5). Goal setting was a part of the high expectations at Jackson Elementary.

Although the Kentucky Department of Education had set the goal that all schools reach an accountability index of 100 before the year 2014, Principal Glen had set even higher goals for Jackson Elementary School:

My philosophy is I want to get as good as I can get as fast I can. If 100 is good enough for the kids at 2014, then it is good enough for my son now. The superintendent asked me when I expected to be at 100, and I told him last year. (JP-I1-E12)

Principal Glen expressed his confidence in teachers holding students to high expectations: “We are not going to be satisfied with babysitting. No matter how much an



administrator wants it, the teachers have to decide to make that happen. And this group of teachers have decided to make that happen” (JP-I2-E13). Goal setting was a part of the high expectations at Jackson Elementary.

Teachers met at a grade level planning meeting to set goals for the CTBS assessment. Following a lengthy discussion on student progress, teachers decided upon a goal for their students. Mr. Basil pronounced, “I would like to see all students score above 80%” (JT3-I1-E22). Targeted and high goals were set at Jackson Elementary where the focus was on improved student outcomes.

*No-excuses environment.* The teachers and the principal established a no-excuses environment at Jackson Elementary. With a poverty rate of 66% and a high enrollment of LEP students, the principal and teachers could have easily labeled those barriers as excuses for low achievement. This was not the case at Jackson as expressed by Glen: “Children can learn at much higher levels than we have given them credit for” (JP-I1-E9).

Glen expected that teachers embrace this belief as well. He described an incident in which he had a debate with a teacher who did not believe that all children could learn. He told the teacher, “If that is your mindset, then I know the student will not make it” (JP-I1-E7). Glen further explicated that teachers who possess this belief were not considered for employment at Jackson Elementary (JP-I3-E21).

During an interview, Glen related what he shared with teachers as the purpose of their work at Jackson Elementary. He told the teachers that they were at school for a purpose, and that purpose was to create more choices in life for the students. He continued:

For our kids it is really hard for them to see those choices because of a chain of poverty. Grandma has been that way, mama has been that way, and the students believe they are going to be that way. But, it does not have to be that way. We try to break that chain of poverty. (JP-I1-E19)

Glen set the tone that poverty was not an excuse for low student achievement. The no-excuses environment at Jackson Elementary created high expectations for students.

Teachers at Jackson Elementary were committed to improving student outcomes, regardless of barriers. They operated in a no-excuses environment, as expressed by Glen: “I would describe the teachers as conscientious, dedicated, physically hardworking, deliberate, and they begin the year with the attitude ‘Uh oh, only 174 more days to accomplish our goals’” (JP-I1-E20).

Teachers were aware of the principal expectation for increased student outcomes as voiced by Mr. Basil:

Mr. Glen expects a lot of me, but I feel like he is going to be there to carry me when I cannot do it, lead me where I need to be led, and sometimes just get out of the way and let me do it. (JT3-I1-E17)

The teachers responded to Glen’s high expectations. Ms. Guinn explained, “I am a positive person and ready to do things. I am not afraid of anything.” (JT4-I1-U33).

Goal setting and establishing a no-excuses environment created high expectations at Jackson Elementary School. Although barriers existed, Glen and the teachers did not use those barriers as an excuse for low student achievement. Independent researchers sponsored by The Prichard Committee for Academic Excellence reported that there was “. . . an atmosphere of no-excuses at Jackson Elementary School” (JS-PCR-E15).

### *A Resource for Others*

The principal and teachers were resources for each other through collaboration, informing each other, and shared decision-making.

*Collaboration.* The teachers and Glen collaborated to improve student outcomes. Glen led instructional strategies by modeling lessons in the classroom, which helped teachers to understand how to implement the strategy. Both the teachers and Glen worked in collaboration to develop the final product. Glen explained, “We worked together last year to develop a strategy for students to use when answering open-ended questions. I taught it in every third and sixth grade” (JP-I3-R5). Mr. Basil described Glen’s effort to work as part of the team at Jackson: “I think he brings back a lot of different strategies and different teaching techniques that he finds out about” (JT2-I1-R15). Glen worked collaboratively with the teachers by modeling instructional strategies. Mr. Basil and several teachers, for example, were implementing the Reading Mastery program for the first time. Glen entered Mr. Basil’s classroom, and Basil was having difficulties with the lesson. Mr. Basil asked him for assistance:

Mr. Glen stopped what he was doing and sat down beside me and showed me how to do this. To me, that is saying that regardless of what he came in there to do, he stopped because what was going on in that classroom was more important than anything else going on at that point. (JT3-I1-R27)

Ms. Comer recalled Glen teaching a geography lesson that otherwise would not be included in the minimum course content: “He came in and showed the students how to use a compass” (JT5-K1-R19). Ms. Winton described how Glen modeled ways to reward student effort: “He will pop in the classroom and ask who is putting forth good effort. The kids love that because they know he cares. He wants them to do well, and I think that

is important” (JT2-I1-R16). Glen modeled instructional strategies in the classrooms and worked collaboratively with teachers to improve instruction.

Teachers and Glen collaborated on many instructional efforts. The Jackson Elementary School CSIP stated that the principal and classroom teachers would provide faculty development in areas of: (a) poverty; (b) cultural diversity; and (c) best instructional practices (multiple intelligence, math manipulatives, learning centers, integrated instruction, technology, and critical thinking) (JS-D1-10). It was evident that the responsibility for leading instruction was shared between Glen and the teachers.

Teachers also led the collaborative effort as they learned about new instructional strategies and then trained others. Glen provided an example:

I sent a teacher to the Questioning and Understanding to Improve Learning and Thinking (QUILT) training and she debriefed me this morning on what she had learned. I told her that I would be as involved as she wanted me to be. I would be the gopher and provide anything she needs. She will run the show—it will be her training. She has been trained to be the trainer. The fact that I am the principal does not mean that I am the best of everything. I think it is a pretty good move to recognize the abilities of other people and then empower them to train others. (JP-I1-R34)

The teacher became an expert, a teacher of teachers. She and Glen worked in collaboration as to how the strategy would be presented to teachers and the role that Glen would have in the training and implementation of the strategy.

*Principal and teachers informed each other.* The teachers and the principal were resources for each other and informed each other of important information. Principal Glen’s ability to be a resource to others allowed teachers to witness his growth in instructional matters, his commitment to improving student outcomes, and also improved confidence level from the beginning of his tenure until now. Mr. Basil described Glen in

the first few months of his principalship as “. . . the proverbial deer in the headlights” (JT3-I1-R31).

The descriptions of Glen’s role have now changed, as illustrated by Ms. Winton: “Mr. Glen can come in my room anytime and teach whatever I am teaching and I believe he has the skills to do that” (JT2-I1-R32). Ms. Marrs portrayed Glen’s role as a partnership with teachers: “He is a partner in this and not just a principal; he is one of us, he is a partner” (JT6-I1-R33). Mr. Basil described Glen as knowledgeable and willing to do what teachers do to try and help them become the best teachers possible (JT3-I1-R28).

Teachers gained confidence in Glen’s ability to inform them in ways that would improve student outcomes. This confidence was gained throughout the four years as principal at Jackson Elementary. Teachers viewed Glen as a partner in instruction due to his commitment and his willingness to research and study instructional matters. Ms. Marrs explained, “When I see him put the time that he puts into researching and getting experiences with these things, it tells me that it is of value. And that tells me if it is of value, I want to do it” (JT6-I1-R26). Norms 4, 9, 14, and 16 provided evidence that Glen sought to be informed and knowledgeable in instructional matters and that he shared that information with teachers. Norm 4 substantiated that Glen was knowledgeable about instructional issues, which earned him the right to influence teaching. Norm 9 supported that Glen provided instructional expertise to teachers in their teaching. He taught teachers unfamiliar with the Reading Mastery Program how to use it. Norm 14 and 16 demonstrated that Glen shared important information from the Central Office and the State Department of Education.

Glen researched strategies and endeavored to be more informed about instructional issues. He shared this information with teachers. He traveled to Oregon, for example, to learn more about the Reading Mastery program and then informed teachers about the program. Ms. Winton affirmed this effort:

Mr. Glen does a lot of learning himself, and he comes back and tells us. He found the Reading Mastery Program, and I know when he saw it that he was sold on it. He then came back and provided information to the teachers. (JT2-I1-R15)

The Reading Mastery Program was implemented, and teachers credit that strategy as assisting them to effectively teach children to read. Glen mastered the Reading Mastery Program himself and taught a new teacher how to use it with students. Glen reflected on this event: “I gave the teacher an overview and taught a lesson for her. I do not really know a lot of complicated ways to do it other than to build a rapport or relationship with people where you can tell them things” (JP-I3-R6). Glen was a resource for teachers and informed teachers of information critical to the successful implementation of the Reading Mastery Program.

Ms. Marrs described test data analysis at Jackson Elementary: “Mr. Glen takes the test data and looks through it for hours and hours and picks areas that we need to focus on” (JT6-I1-R21). Glen presented this analysis at the School Based Decision Making Council (SBDM). Based upon the data, the Council decided upon an instructional focus for the school. Following the SBDM meeting, Glen met with teachers to share the focus, further analyze data, and plan instructional strategies. He explained the principal and teacher role in data analysis: “There has to be a rapport to do that; if you do not have the rapport and you go in with data, people are defensive and they hold back” (JP-I3-08).

Not only did the principal share instructional information with teachers, but he also shared other information that teachers perceived as important to student success, as explained by Ms. Winton:

He also gives us pertinent information. I feel sometimes people hold things back that teachers need to know, let's say testing information or things that might come from central office. He is ready to come and share that, it is not a secret and he is going to let us know what is going on. (JT2-I1-R18)

Glen sought teacher knowledge and embraced the attitude that he did not possess all the information needed to improve student outcomes: "The fact that I am the principal does not mean that I am the best of everything" (JP-I1-S2). He further described that belief: "I think it is a good move to recognize the abilities of other people and then empower them to follow your vision and go make that difference in a way that they think will work, and then we can assess that together" (JP-I1-S3).

Mr. Basil shared that it was a common occurrence for Glen to ask teachers for information. Basil explained, "This summer he called me at home to ask a question about a student exiting the primary. He wanted my opinion and then he would tell me his opinion and we would see how they fit together" (JT3-I1-S18). Mr. Basil provided another example about a time that Glen shared information with teachers that resulted in improved student outcomes:

Last year about this time, Mr. Glen received a brochure in the mail about a California Test of Basic Skills (CTBS) preparation program. He threw it in the garbage can because we get endless things in the mail. He pulled it back out and called me to come to his office. I thought it looked good, and I talked it over with my team. We got back together with him and talked about it again. We ordered it, implemented it, and our CTBS scores improved tremendously. There again, he was coming to me and wanting to know what I thought. (JT3-I1-S20)

Glen described how he shares information with teachers: "I respect their opinion. I just say, 'Here is a tool, you tell me how you are going to use it to improve instruction'" (JP-

O2-S25). The teachers used the tool to prepare students for the CTBS test, and student outcomes were improved. Glen shared the information about the tool; the teachers discussed it, decided to use it, and informed Glen of the decision. Glen purchased the tool, the teachers used it, and student outcomes were improved.

Ms. Ford provided another example of the principal and teachers sharing information:

He always asks for our input. He involves the teachers. For example, when we were coming up with a schoolwide guide for the students to answer open response questions, we came together as a faculty, and especially the fourth and fifth grade teachers, and brainstormed. When we condensed our rubric so it would be more student friendly, he came around and we talked about it and we came up with a draft. He came to us and asked what we thought about the revised version. (JT1-I1-S26)

The open response guide prepared students to answer open-ended questions on the state assessment. Norm 7 indicated that the principal and teachers worked together to implement new instructional strategies to accomplish goals. Norm 5 also confirmed that teachers influenced the principal by providing feedback about instructional strategies.

Ms. Marrs explained that throughout the implementation of Reading Mastery the teachers informed Glen of student progress. She said, "Throughout the year he would ask us how our students were progressing compared to where they were last year" (JT6-I1-R33). The continuation of the Reading Mastery Program depended upon improved student outcomes that were communicated by the teachers to the principal. Teachers possessed and shared knowledge about student learning that was invaluable to the principal.



Teachers believed that Glen was willing to listen and placed value in what they had to say. Ms. Comer shared the following example of informing the principal of critical information regarding student outcomes:

Mr. Glen asked me what I thought about having band at a certain time. I brought up some of our students that were in band last year, and I told him I have been through the scores. I have proof that the students who were in band did not score as well on the test as I think they should have, because they missed reading two days a week, and that is the subject I teach. He said he would talk to the parents, band teacher, and central office. He listened to my comments and he immediately was backing me up. That does not seem like a big thing, but it is when you are getting down to it. (JT5-I1-R39)

Ms. Comer shared information with Glen about the student schedule. The information included her reflection of data analysis and how scores were impacted by the schedule.

Glen described his dependence upon teacher knowledge in the following recollection of the adoption of the Reading Mastery Program:

I will go to them and say, "This is what I think. What do you think?" For example, I believe if you have the world's greatest idea about something, and then you have another idea. Maybe everybody balks at the greatest idea. They may do it superficially, but there is no heart behind it—there is no commitment. But the other idea, they may put their heart and soul and everything else into it. You get a shift from the standpoint of effectiveness. This is why I want them to look at it as instructional strategy and tell me what they think. (JP-I2-R40)

Glen acknowledged that teacher commitment would be higher if the teachers agreed upon the strategy. He believed that it must not solely be a principal decision.

Teachers informed the principal of important matters. Ms. Marrs reflected upon sharing information with the principal: "If I have something on my mind that I need to talk to him about, I do not hesitate to do that. I do not feel intimidated" (JT6-I1-R38). Ms. Winton recalled an instance when teachers explained to Glen that language on a scoring rubric was too difficult for students to understand. (JT2-I1-R33). This began the process

of revising the rubric, which was an effort between teachers and Glen to improve student outcomes.

Another example of teachers informing Glen of important information was demonstrated when a team of teachers hosted after-school activities, and the attendance was disappointing. A spokesperson from a team talked with Glen about the situation, and he proceeded to help by talking with the faculty at the next faculty meeting to seek a resolution (JT2-I1-R50). These teachers had insight to a situation that the principal did not have and shared this information with Glen.

Math achievement was another example of the teachers and Glen sharing information. Glen sought teacher information regarding math improvement, and teachers responded. Glen then arranged for the alignment to be one of the professional development (PD) activities, and the results were currently being implemented into instructional practice. Glen explained:

I told them that we needed to have something in math like we do for reading. We were flying by the seat of our pants in math instruction, as are most schools. So, I wanted those two cornerstones established very well. I brought that to them and asked for their input. They decided there was a need for a math alignment beginning with the fifth grade and working from there. We started the alignment at the end of last year and are just now implementing it this year. (JP-I2-S30)

Norm 8 substantiated that the principal and teachers worked together and shared information during the math curriculum alignment to ensure that all math concepts would be taught.

Ms. Winton provided another example of teachers informing Glen of important information, and he used the information to address the concern with the other teachers. This pertained to the lack of teacher participation at extra activities: “We have talked to him about the concern that when our kids are here we need to be here and support them

and show them that we are interested. I feel that it was important that he addressed it to everyone” (JT2-I1-R42).

There were instances when teachers independently sought to share information with the principal. The principal had not asked for their input, but teachers approached him with information about a suggestion or change. Mr. Basil described the process by which the configuration of the grade level was decided:

The teachers talked about it, and we decided that we did not want to loop. We wanted to have straight third grades and straight fourth grades. We talked about it as a team, and then one of the team members approached Glen. He was surprised and wanted to know why we wanted this. After he understood why we wanted it this way, he agreed that we could do it. (JT3-I2-S30)

Teachers shared information with the principal and described the change needed.

Mr. Lawrence, a fifth grade teacher, recalled several times he had shared information with the principal without being asked. He said, “Several years ago we did an overnight field trip, and the students loved it. We kind of let it drop and have not done it for a while. I mentioned it to Glen, and now we are going to do it again this year” (JT7-I1-S31). Another instance included scheduling: “I approached him on behalf of our grade level. We are assessed in my grade level, but scheduling is a delicate thing because there are so many others involved when there is a change made” (JT7-I1-S32). The teacher indicated that Glen worked to get the scheduling issues solved. This matter could only be solved by the principal, but the principal would not have known about the problem had the teacher not informed him.

Mr. Lawrence described a time when he approached the principal without being asked. He said the principal’s decision was a defining moment in knowing that Glen valued his input. Lawrence explained the instance:

Several years ago we were recognizing students that scored proficient and distinguished on the state assessment. A child had moved from another school with a distinguished score. Mr. Glen had decided not to recognize this child because he was not at our school when he took the test. I saw the child crying and could tell he was very distressed about it. I went to Mr. Glen and I said, "I know you already said no, but this child is upset. If we leave him out, it may effect how he performs for us this year." Glen changed his mind and gave the child an award. About two days later I was walking by Mr. Glen's office, and he called me in and told me I was absolutely right and that he appreciated what I did. After that, I am confident that I can approach him about anything. (JT7-I1-S33)

Mr. Lawrence decided that Glen would listen to him and make decisions based upon what was best for students. Norms 6 and 11 confirm that teachers initiated opportunities to influence Glen about instruction.

Teachers also informed Glen when resources were needed. Ms. Guinn stated, "If I need workbooks or books or textbooks, he never asks me why. He just says OK" (JT4-I1-R31). The teacher also explained that, although books were very expensive, she believed that Glen knew it was a good investment because he would see the students using them. Teachers felt comfortable informing Glen of instructional needs. Glen stated, "... I want them to have every last thing they need and most everything they want. There really has to be a good and significant reason not to get it if they ask for it" (JP-I1-R32). Norm 13 provided further evidence that the principal provided resources such as workbooks, books, or other textbooks when the teachers requested them.

Teachers provided information to the principal from a perspective that the principal did not have. An example of this was when Mr. Basil accompanied Glen to a Southern Association of Colleges and Schools (SACS) Review. Glen was only three months into his principalship and he asked Basil, "What do I need to do as the principal?" (JT3-I1-R40). Basil reflected upon his answer and then told Glen:

The place where principals fail is that they do not see beyond today. They do not see tomorrow. Where do you want to be in five years? What do you want the school to be like in five years? And we talked about that, and that is what I have seen him do. (JT3-I1-R41)

Formal methods were also used for teachers and the principal to share information. The Leadership Team, Curriculum Committee, Budget Committee, Comprehensive School Improvement Plan (CSIP) Committees, grade level planning meetings, and faculty meetings provided these opportunities. The Jackson Elementary CSIP listed that all stakeholders have input in the development, implementation, revision, and monitoring of the CSIP (JS-D1-S29). To follow the plan of the CSIP, conversations between the principal and teachers must occur; they must seek and consider the knowledge of each other.

Glen referred to teacher evaluations as a time for informing teachers of important information: “Conversations occur formally in post evaluations” (JP-I1-R35). He further described the post evaluation conferences:

Let us use the topic feedback. Feedback is a very important tool, and when used properly it has great benefits. We have talked about the way we provide feedback. Our teachers will tell you that it is not good enough to say, “Way to go.” They know to attach the “why” to the “way to go.” To tell them why the answer was right gives the student more of an understanding. (JP-I1-R36)

Ms. Ford, a fifth grade teacher, described the post-observation conference: “He points out things that he thinks you are doing well. A couple of years ago I was doing a computer lesson, and it was something we had received training on in a faculty meeting. He was glad I was using it” (JT1-I1-R37). Glen used post-evaluation conferences to inform teachers of important information.

The Prichard Committee Report validated that the principal provided feedback to teachers through the staff evaluation process: “Classrooms are monitored by the

principal, and feedback is given to teachers to assist them in providing continual improvement of instructional strategies. This is usually done in connection with the staff evaluation process rather than on a regular basis” (JS-D2-R42).

Teachers and the principal also shared information in informal settings. These conversations occurred at lunch, in the hallways, and through telephone conversations. Glen explained, “It is just what we talk about. It is part of our makeup. We do not really sit down and plan these conversations all the time” (JS-I1-M11). Norm 10 confirmed that Glen was perceived as being accessible to teachers because he spends time in the classrooms, is in the hallways, is in the lunchroom, and supervises student pickup in the afternoons. Norm 2 also validated principal availability to teachers through an open door policy in which teachers can stop by Glen’s office during planning time or ask him questions when they see him during the day.

*Shared decision-making.* Shared decision-making was a part of Jackson Elementary School and established venues in which an exchange of influence occurred, as described by Ms. Comer:

We came up with our mission statement together as a team. We came up with the acronym P.R.I.D.E. as a team. We also have a leadership committee where there are people from various grades that are on that. We worked on scheduling this summer, and there was a teacher representative that came in and helped with scheduling. (JT5-I1-S14)

Ms. Marrs substantiated that shared decision-making existed at Jackson Elementary in describing the curriculum as being more focused and targeted due to decisions made by the teachers and the principal (JT6-I1-S15).

A Leadership Team comprised of teachers from different grade levels and also the principal made instructional decisions. The Leadership Team teachers conferred with the

teachers in their grade level, and they reported back to the other members of the leadership team (JP-I2-U13). Discussion among the Leadership Team members resulted in decisions that impacted schoolwide instructional efforts. An example of this was when the Leadership Team discussed the focus of PD for the year. Glen admonished the team about PD efforts within the school: “We just have to be more intentional with what we do. It is easy to let go of PD once it is over” (JS-03-S22). A teacher suggested that more training at faculty meetings would be a good time for whole group training (JS-03-S22). Glen agreed but asked the other team members to talk with the teachers on their teams and report back before decision would be made (JS-03-S23). Shared decision-making was the result of the Leadership Team efforts. Teachers had a voice in the decision-making at Jackson Elementary through the Leadership Team efforts.

The Prichard Committee Report acknowledged that shared decision-making existed: “Most staff members at Jackson Elementary feel they have a voice in decisions.” (JP-D2-U22). The Jackson Elementary CSIP also supported shared decision-making. The CSIP listed that all stakeholders have input in the development, implementation, revision, and monitoring of the CSIP (JS-D1-S29). This validated that conversations between the principal and teachers occurred at Jackson Elementary School.

Principal norms 12 and 15 confirmed that shared decision-making was a part of Jackson Elementary. Norm 12 addressed the Leadership Team, and norm 15 described grade level meetings. Both were examples of the principal and teachers sharing decision-making.

### *Case Interpretation*

The following system is used to increase clarity for the reader. Themes are set apart by the use of capital letters (e.g., COLLECTIVITY) and categories are set apart by the use of italic lettering (e.g., *a need for each other*).

The four themes demonstrate how the principal and teachers exchanged influence in ways that build instructional capacity. The themes COLLECTIVITY and MOTIVATORS FOR SUCCESS were prerequisites for an exchange of influence. They functioned as the foundation for the principal and teacher relationship enabling the exchange of influence to occur. The third theme, HIGH EXPECTATIONS, established the need to exchange influence. The principal and the teachers wanted students to achieve at high levels. To accomplish this goal, the influence had to be exchanged to build instructional capacity. The fourth theme, A RESOURCE FOR OTHERS, illustrated the exchange of influence between the teachers and the principal.

COLLECTIVITY was a prerequisite for building instructional capacity and increasing student outcomes. The teachers and the principal developed *a need for each other* and *a care and respect for each other*. There should be an established relationship to work toward the common goal: The principal cannot increase student outcomes alone, and the teachers cannot increase student outcomes without the principal. A collective effort among the teachers and principal to improve student outcomes was present at Jackson Elementary.

The principal and teachers exhibited *a need for each other* to improve student outcomes, and this need created a foundation for the exchange of influence. Both parties understood they could not meet accountability goals alone. The words partnership, team,



together, and unity were used by the teachers and the principal to describe the teacher and principal relationship.

The culture at Jackson demonstrated that people needed each other to achieve success. The school mission statement, “Together We Are Better With P.R.I.D.E.,” was an outward sign of a need for each other and was displayed throughout the school. The principal was vocal about needing the teachers to succeed. Glen declared, “Do not congratulate me for our test scores. I am not responsible. It is the teachers and students who deserve all the credit—not me” (JP-I4-U40).

Teachers realized they needed the principal to achieve improved student outcomes. They needed him to obtain resources for their classroom. He did not question teachers as to why they needed the resources; he just provided them when requested. Teachers were also vocal about viewing Glen as one of them, thus, indicating he possessed skills and knowledge to relate and assist them with instructional matters—as a partner. The teachers and principal worked together and expressed a need for each other to improve student outcomes.

The teachers and the principal displayed *care and respect for each other*, which is foundational in relationship building. Glen valued teacher ability to make decisions to improve student outcomes. He told them he respected them and he placed value on their decisions and opinions. The principal deferred goal setting to the teachers and assured them that he respected them and their opinions. Teachers expressed gratitude for the caring attitude that Glen projected about teacher personal problems and family issues.

Teachers also noted that they cared about Glen’s well being, particularly at the beginning of his principalship. Mr. Basil offered Glen advice for long term planning

when Glen was somewhat exasperated. Ms. Marrs recognized that Glen had developed confidence throughout his 4½ years as principal. A care and respect for each other contributed to collectivity at Jackson Elementary. COLLECTIVITY was a foundation for an exchange of influence to build instructional capacity in ways to improve student outcomes.

COLLECTIVITY was part of the cultural fabric of Jackson Elementary School. Relationships and interactions among the principal and teachers were indicators of a collective effort to improve student outcomes. To exchange influence, there must be a venue in which to exchange that influence. COLLECTIVITY created this venue and was foundational for the social exchange of influence.

#### MOTIVATORS FOR SUCCESS

The principal and teachers exhibited shared MOTIVATORS FOR SUCCESS. This created cohesion between the principal and teachers that was conducive to an exchange of influence. Motivators for principal and teacher success emerged from the data through a *student focus*, *prior experiences* of the teachers and principal, and a *need to be lifetime learners*.

The principal and teachers exhibited a *student focus*. This seemed to drive all decision-making and was the impetus for continued improvement. The feelings were deep and personal. One teacher broke into tears when reflecting upon the poverty level of students. She cried when explaining how many students did not possess the materials and experiences needed to succeed upon enrollment at Jackson Elementary.

The principal verbalized his concern and care for students and described ways in which he rewarded student effort. He knew student names and talked with students daily.

He described the need to break the poverty chain and establish high student goals. He was adamant about not referring to students as “a type of population.” It appeared that he had no tolerance for that mindset and was quick to redirect those who used that terminology to describe the students.

Both the teachers and principal possessed a missionary zeal. This was a commonality and enabled the teachers and principal to communicate about this shared belief. The opportunities for an exchange of influence increased due to the student focus shared among the principal and teachers. It was a MOTIVATOR FOR SUCCESS.

*Prior experiences* of both the teachers and the principal were MOTIVATORS FOR SUCCESS. The principal described his personal educational journey by providing a portrait of two teachers from his childhood—his worst teacher and his best teacher. These stories became part of the cultural fabric of the school, as most teachers knew the stories by memory and referred to them on several occasions. Principal Glen gave the impression that he wanted a better educational experience for the students at Jackson than what he had experienced as a child. This was a MOTIVATOR FOR SUCCESS.

Teachers also referred to prior experiences involving former principals. This became a point of reference, and teachers expressed gratitude for Glen’s caring leadership style. Mr. Basil recalled instances when former principals implemented new strategies without much thought or research. He expressed appreciation for Glen’s willingness to research strategies and improve upon them from year to year without an abrupt change of the strategy. The principal and teachers desired better experiences for the students and for themselves. Prior experiences among teachers and the principal were MOTIVATORS FOR SUCCESS and were part of the culture of Jackson Elementary.

Both the principal and teachers demonstrated *a need to be lifetime learners*. The principal referred to his background in physical education and his lack of elementary curricular experiences. He did not expect teachers with several years of experience to listen to him about curricular issues. Glen, therefore, was committed to expanding his knowledge and worked long hours at researching and gaining curricular information. Glen improved his credibility with teachers by realizing the need to be a lifetime learner.

Teachers also exhibited a need to be lifetime learners and admitted the impossibility of being able to know everything about curriculum and instruction. They demonstrated a desire to learn more and accept information from others. Teachers were comfortable with trying new strategies, as the culture at Jackson encouraged this effort. Ms. Ford communicated that mistakes were acceptable when trying new initiatives only if something could be learned from the mistake and improvement was made. The principal and teachers realized a need to be lifetime learners to improve student outcomes. This was a MOTIVATOR FOR SUCCESS.

The principal and teachers possessed common MOTIVATORS FOR SUCCESS. This created a commonality between the principal and teachers that was conducive to an exchange of influence. The principal and teachers possessed a student focus, had prior experiences that intrinsically motivated them, and displayed a need to be lifetime learners. The presence of these MOTIVATORS FOR SUCCESS established a foundation or venue in which an exchange of influence was more likely to occur.

The principal and teachers demonstrated HIGH EXPECTATIONS for students through *goal setting* and maintaining a *no-excuses environment*.

*Goal setting* was part of the environment at Jackson, as validated by The Prichard Committee study: “Jackson Elementary had established a focus on achievement that supported the belief that all children can learn at high levels” (JS-PCR-E14). The focus that all children could learn at high levels indicated a core belief of the teachers and principal and was an impetus for goal setting.

Teachers were not fearful of setting high goals for the students. Teacher conversations regarding goal setting at a grade level meeting confirmed this attitude. They set a goal of 80% student achievement in all areas of the CTBS test. This high goal indicated that the teachers believed students were capable of achieving this.

The teachers and principal set even higher goals for the school than the state had set. The principal articulated this by sharing his personal goal of surpassing an academic index of 100 before 2014. Goal setting required teachers and the principal to possess HIGH EXPECTATIONS for student outcomes. Achieving that goal created a need to exchange influence and build instructional capacity to improve student outcomes.

The principal and teachers displayed HIGH EXPECTATIONS through a *no-excuses environment*. Although the high poverty level and number of students enrolled in LEP programs were barriers to learning, the principal and teachers did not use this as an excuse for poor student outcomes. The Prichard Committee Report concurred that at Jackson Elementary there was “. . . an atmosphere of no excuses” (JS-PCR-E15).

Teachers expressed confidence in students to achieve during grade level meetings. They vocalized that students could achieve. Neither the teachers nor the principal referred to the poverty level or language barriers as an excuse. This was not the mindset or culture at Jackson Elementary. It was simply not acceptable to excuse students from high

achievement. A no-excuses environment established the need to build instructional capacity to improve student outcomes.

HIGH EXPECTATIONS for students created the need for an exchange of influence. If students were to achieve high goals despite the poverty level and the language barriers, then there was a need for teachers and the principal to exchange influence in ways that would build instructional capacity.

The principal and teachers exchanged influence as they acted as RESOURCES FOR OTHERS. Principal and teacher *collaboration* were RESOURCES FOR OTHERS and, as a result, exchanged influence to improve student outcomes. Glen collaborated with teachers as he shared instructional strategies. He modeled lessons in the classroom and teachers were confident in his abilities to do so. Before modeling the lessons, Glen and the teachers discussed the strategy. His purpose for modeling was to further clarify the strategy. Teachers gave the impression that this helped them have a more unified approach to instruction. Glen modeled Reading Mastery strategies, open response questioning, and a geography lesson. He also modeled how to reward student effort. Glen influenced teachers by modeling strategies; teachers then instructed students based upon what they learned from Glen. He was a resource to teachers through delivering instruction.

Teachers also worked to collaborate and become RESOURCES FOR OTHERS. Teachers taught other teachers about new instructional strategies through PD activities. After teachers received specialized training, they shared the new learning with the other teachers and also the principal—they became instructional leaders. Glen, as well as the other teachers, learned from the teachers who participated in trainings. Collaboration

among the principal and teachers provided instances in which an exchange of influence occurred.

The *principal and teachers informed each other* of important information, which indicated a change of influence. Teachers gained confidence in Glen's abilities through his research and determination to extend his curricular knowledge. After attending trainings about the Reading Mastery Program, Glen informed teachers about the contents of the program. After the adoption of the program, Glen became proficient in teaching it and would pass information to teachers when needed.

Glen and the teachers spent time analyzing test data and informed each other of the implications the data should have to the instructional program. The teachers credited Glen with sharing information from the state department or central office that otherwise may not be shared. Other examples of Glen informing teachers were when Mr. Glen called Mr. Basil about the student exiting the primary and also the CTBS preparation program. In both instances the principal informed others of information and became a resource. Glen also shared information with teachers through post-evaluation conferences. Teachers referred to this as positive feedback on instructional efforts.

Teachers also shared important information with the principal. Teachers informed Glen of the lack of teacher support for after-school student activities. He addressed this issue with teachers at a staff meeting and encouraged support at these events. Another example was when teachers informed Glen that they needed resources or instructional materials. He provided resources that impacted instruction and contributed to improved student outcomes.

Another example was a scheduling issue that included the band students missing reading instruction. The teacher provided Glen with important information about student progress. Glen worked to improve the schedule so that all students would have the same opportunities in reading instruction. The teachers also informed Glen of revisions needed on an open response scoring guide. This resulted in an improved product to increase student outcomes.

The math alignment proved to be an instance when the teachers and principal informed each other of curricular information and, as a result, the math curriculum was improved. Teachers also displayed assertiveness by approaching Glen without any prior questioning by him. Examples of this were the third and fourth grade configuration, overnight field trip, scheduling, and student rewards. The principal and teachers informed each other of information. They were A RESOURCE FOR EACH OTHER. They responded in ways that built instructional capacity and improved student outcomes.

Jackson Elementary School exhibited *shared decision-making* and provided opportunities for the teacher and the principal to be resources for each other. The creation of the mission statement, the existence of a Leadership Team, and the process of the math curriculum alignment exemplified a shared decision-making process.

Shared decision-making included the principal and teachers expressing opinions and ideas to each other. They communicated in ways that provided new insights and ideas to others. They had opportunities to listen to each other and examine another's perspective. Shared decision-making created a platform for exchanging influence to build instructional capacity.



Being A RESOURCE FOR OTHERS allowed opportunities for influence to be exchanged. At least one of the participants must have something to exchange before an exchange can take place. The principal and teachers were resources for each other and exchanged influence through collaboration, ways that the principal and teachers informed each other, and shared decision-making.

#### Brandon Elementary School Teachers and Principal Tims

Socialized priorities set the stage for an exchange of influence between the principal and teachers through learning from each other and instructional capacity building in this Kentucky elementary school.

#### *School Context*

Brandon Elementary School was the only elementary school in this southeastern Kentucky county. The school was located in the county seat, which had a population of approximately 1,700 residents. The area was known for its picturesque landscape made up of hills, farmlands, a lake, and river. The county was named for the river, which was a source of industry in the past. The economy was based on the agricultural production of tobacco, corn, and beef and dairy cattle. There were also lumber mills and clothing factories. The nearby lake attracted boaters and fishermen.

The school was positioned among the hills in a quiet setting except for the occasional sound of the traffic from the main highway. The three-story building, once a high school, overlooked the town and had a circular drive in front used for school bus loading and unloading and also parent pickup. Visitors who entered the front entrance would likely stop and appreciate the scenic view before entering the building. Upon entering the school, a sitting area was available for parents to wait for their children

during the afternoon dismissal. The hallways were brightly painted and adorned with large framed posters of CATS results boasting that Brandon Elementary had earned reward status.

The school mission statement was to “Collaborate with parents and the community to encourage critical thinking, problem solving, and responsibility among students in an environment where every student can learn, achieve, succeed and become lifelong learners in a safe, positive and supportive place.” This statement was representative of the student focus shared by the principal and teachers.

Brandon Elementary employed 58 classified and certified staff. Several staff members were considered itinerant, as they worked part time at Brandon Elementary and also at the middle or high school located in the same district. Brandon served a student enrollment of 530 in preschool through fifth grade. Sixty-nine percent of students qualified for free and reduced lunch. Based upon this data, Brandon was eligible for schoolwide Title I programming and was recognized as a National Title I Distinguished School. Despite the barriers to learning, Brandon Elementary School exceeded the state accountability goals for all five testing cycles, one of only 37 schools in the Commonwealth to achieve this goal. School initiatives included: (a) Accelerated Reader and Math Programs, (b) a Family Resource Center, (c) computer lab and technology resource teacher, (d) outdoor classroom, (e) weather and geology center, (f) Breakthrough to Literacy, and (g) student award initiatives.

Principal Tims began his career in education as a high school math teacher. After 10 years in the classroom, Tims became assistant principal at Brandon Elementary. When

the principal at Brandon accepted a position in another school district, Tims was hired as principal and had just completed his fourth year.

### *Case Analysis*

The three themes that emerged from the data were (a) Socialized Priorities, (b) Learned from Others, and (c) Instructional Capacity Building. Categories derived from the themes are organized in the matrix (see Table 4). Results from the Principal Norm Checklist are integrated throughout the categories and are also provided in Appendix B.

**Table 4**

Principal Tims and Brandon Elementary School

| Theme                           | Categories                   |
|---------------------------------|------------------------------|
| Socialized Priorities           | Codes of Behavior            |
|                                 | Limitations and Strengths    |
|                                 | Resources                    |
| Learned from Others             | Instruction                  |
|                                 | Shared Decision-Making       |
| Instructional Capacity Building | Student Barriers to Learning |
|                                 | Instructional Improvement    |
|                                 | Shared Goal                  |

#### *Socialized Priorities*

The principal and teachers displayed an understanding of each other that established socialized priorities through codes of behavior and limitations and strengths.

*Codes of behavior.* The teachers and Principal Tims identified codes of behavior for each other. Knowledge of the codes of behavior enabled the teachers and principal to communicate with each other in productive ways. Teachers, for example, portrayed Principal Tims as a professional businessman. Ms. Stockton, a Title I teacher, recalled, “Mr. Tims’ personality is very analytical; he is very down to business and very organized” (BT2-I1-I44). Ms. Butler, a kindergarten teacher, described Tims:

He is very approachable. You can go to him, but he is also very private. If you want to discuss something that not everybody needs to hear, he wants that to be done in private. He does not want those conversations to be in front of other people. He is that way. (BT1-I1-I8)

Ms. Stockton compared her personality with Mr. Tims’ personality: “Mr. Tims’ personality is very businesslike. I think there is a difference because I am very nurturing” (BT2-I1-I17). Ms. Arch also reflected on Tims’ personality:

I am very comfortable with him. It does not bother me when he comes in to watch what we are doing. He has a sense of humor. I have a sense of humor also, so we get along real well. I am comfortable if he wants to visit my room; some teachers get nervous—not me. (BT3-I1-I48).

Ms. Williams, the librarian, related to Tims’ demeanor, “I think he trusts my expertise. I do not think he tries to come in and tell me what to do. Maybe he likes what he sees. I take that as a compliment, that he is not in here telling me things that I need to do” (BT6-I1-I49).

Tims placed importance on confidentiality as ethical behavior. He shared the action taken when confidentiality was broken:

When someone says things in the community or in the building that causes problems between staff members, I go right to them. I do not wait two weeks. I will not go on hearsay; of course, it has to be legitimate. I go to that person and talk to them as a professional. I try to treat people with respect at all times. (BP1-I1-I41)

Norm 4 indicated that Tims kept sensitive information confidential and expected the teachers to do the same on supporting the importance that Tims placed upon confidentiality.

Ms. Norman, a Title I teacher, shared how direct Mr. Tims was when communicating about instructional practices:

I think the best approach is to be direct. He is a direct person himself. He is matter of fact. I have noticed this, instead of going two or three different places and asking opinions, I go to him first and say, "What do you think about this?" I just talk, and he stands there and listens. After I finish, he asks me some questions and we continue to discuss the idea. (BT5-I1-I30)

A primary teacher, Ms. Cary, illustrated how she and Tims shared information: "Since I have been teaching here for 19 years, I know what I am doing at this point. I say what I think and then look to see how he reacts. We have never been at odds and always have gotten along well" (BT4-I1-I39).

Ms. Butler described what she would tell a new teacher about sharing information with Principal Tims: "It would probably be best to see him in his office or send him an e-mail. If you see him in the hallway, move away from people, and he will listen to you if it is something that will not take a lot of time" (BT1-I1-I9).

Teachers acknowledged that they communicated with Tims in his office, through e-mail, and during informal conversations in the school setting. Ms. Arch, a special education teacher, said, "When he is in his office, you can sit down with him and spell out to him what your idea is" (BT3-I1-I21).

Tims viewed the teachers as "... getting along with each other and collaborating" (PI-I1-I6). He substantiated his thoughts by sharing a comment from a student teacher:

The student teacher said that in another school when someone would try something new to help the students, the teachers would laugh and make fun. They discouraged the person from trying it because they would look bad. He said here at Brandon, however, people are applauded for trying different things and want to get on board. I thought that was a good thing—that we are an investigative, learning atmosphere. (BP-I1-I44)

Tims explained that he strives for positive feedback and input. He knows the teachers who maintain a positive attitude and seek to try new things. He was careful to not get caught in negativism that would negate progressive thinking and might spread throughout the staff (BP-I1-I52).

Tims told teachers if they did something that he did not agree with or that needed to be improved upon, as explained by Ms. Norman: “I have not had an improvement plan to be written, but I think there has been times when he has talked to teachers about things that he would like to see them doing. He is not afraid to tell us” (BT5-I1-I45). Principal Tims substantiated this by indicating that after trying several interventions with a teacher, he developed a corrective action plan and was tracking the progress of the teacher to achieve the goals (BP-I1-I46).

Tims described an instance when he modeled behavior he wanted from teachers:

I try to be the first one here and last one to leave because I want other people to take on that quality. I do not want them to burn out, but I want them to think, “If he can be here everyday and put in that much time, then I can too.” (BP-I1-I5)

*Limitations and strengths.* The teachers and principal reflected upon the limitations and strengths of each other and how they affected school business. Ms. Cary described Tims’ professional growth as an evolution: “I think he is still adjusting to the way elementary people do things. I have seen an evolution since he has been here. He has softened and is beginning to be more flexible as he evolves” (BT4-I1-I37). Ms. Norman also mentioned Tims’ lack of elementary experience: “Mr. Tims was a high school math

teacher, and he did not have elementary experience and he learned about elementary procedures from our former principal, Mr. James” (BT5-I1-I45).

Tims reflected on his previous educational experiences: “It is good in a way that I came from a high school background because I did not know a thing about elementary curriculum. I am trying to learn every year the best I can. I have to listen to people that do know something” (BP-I1-I67). Ms. Cary reflected on Tims’ growth: “I think he is beginning to open up. It has just taken time. He had to grow with us. We are a different fabric than high school, totally. He is growing” (BT4-I1-I46).

Ms. Arch indicated that Tims’ math experience had been helpful to Brandon Elementary:

He brought math leveling. He has the students categorized by their ability in math now. We did not used to have that, so that is helping our math scores. We saw an increase in math scores last year. He came up with the idea on his own. He is very mathematical. Anything about math, he is very in for. (BT3-I1-I49)

Principal Tims provided illustrations of teacher limitations and strengths. He described one teacher as using too many “old school” methods. He explained how he tried to help her: “We have had talks about the teacher being a facilitator of learning and not the sole source. She is trying to do more hands-on things and is providing more research-based instruction” (BP-I2-I50).

Tims informally identified teacher leaders and on occasion asked their opinion. He identified these teachers by their strengths. Tims explained, “I will talk to people who I consider to be key teachers and maybe leaders of a certain faction of teachers, and I tried to find out what they thought about it and see if there was a concern.” (BP-I1-I51). He further elaborated:

If you ask certain people things and you catch them at the wrong time, you will get 500 reasons not to do something. I try to look at the people that say “What can we do now, instead of let us just forget it.” There are people who you trust because you know they want to improve, they will not say no to everything. Those are the people who are willing to be on the school council for no other reason than just wanting to. (BP-I1-I52)

Tims credited these teacher strengths for improving student outcomes: “I think all the staff continually realize that you cannot sit on your laurels. You have to keep going. I think that is big. The number two thing is we have a staff willing to change” (BP2-I1-I52).

*Resources.* The principal provided resources to teachers. Ms. Butler described the cost to implement a reading program: “It is expensive. The money is found. I am sure it is a joint effort between the superintendent’s office and the principal. That is really something these days with all the budget cuts. Things we truly need, he tries to find a way” (BT1-I1-R25). Norm 12 determined that Principal Tims made an effort to locate the funding so teachers may have the resources needed to improve student outcomes.

Ms. Williams, the librarian, explained that she and Tims work together to ensure there was a wide selection of books in the library: “Mr. Tims shows the importance he places on the library by making sure I get a good allocation of money every year” (BT6-I1-R61). She continued by describing that a portion of the money is designated to purchase high interest books: “I keep a wish list made by the students. I see what kind of books they like and what we are lacking. I am always on the lookout for horse books, cat books, dog books, and coon dog books” (BT6-I1-R61).

Principal Tims recalled decisions regarding the Extended School Services (ESS) funding: “I went to some of the primary people involved in ESS. We talked about the most important parts of our tutoring program and what parts needed to stay and what



parts needed to go based on the amount of funding we had to work with” (BP-I2-R76).

Norm 2 validated Tims’ involvement of teachers when making changes in the ESS program, portraying Tims as asking for teacher input to make decisions.

The principal and teachers provided each other with the latest educational research, as Tims illustrated, “I try to keep up with the latest research and go to other schools and talk to principals about what is working for them, especially schools similar to ours” (BP-I1-R77). Ms. Stockton provided an example: “Last year Mr. Tims gave us some information about brain research from a conference he had attended. One strategy was that students needed water in order for their brains to work more efficiently” (BT2-I1-R79). She continued, “I decided to become more lenient about my students drinking water. I realized that there is probably an actual benefit to letting them have access to water as opposed to trying to limit how much they were in and out of the classroom to get a drink of water from the fountain in the hall” (BT2-I1-R79).

Tims elaborated about sharing resources with teachers: “I try to find all I can from different websites and also get information from some of my education classes” (BP-I2-R87). He continued, “I look through catalogs frequently to see if there are any good books available. I watch for educational publications and also talk with other principals to see if there are things other schools are doing that might work for us” (BP-I2-R88). Norm 14 provided evidence that Tims read research about good instruction and provided teachers with various research articles and information from professional development workshops.

Teachers also shared resources with Tims, who recalled, “Teachers occasionally find things that I am not aware of because we do not always see the same literature. They bring me articles with ideas and strategies” (BP-I2-L17).

Ms. Butler added that Tims encouraged teachers to share what they learned at conferences and from other classrooms: “Mr. Tims asks us if there is anything we learned that would help the other teachers, and if so, we should pass it along. He encourages us to share anything we think” (BT1-I1-R78).

Tims described a situation in which he provided resources to a teacher who needed more information about an instructional strategy: “I provided materials to one of the teachers to read over the summer. She is trying to get learning centers established for her classroom. The students will be able to experience more than one thing at a time when she implements learning centers” (BP-I1-R11).

Principal Tims was available to assist teachers with discipline matters when needed:

First, I want the teachers to try to take care of it themselves. It will be better in the long run if they take care of it and communicate with the parents. The teachers know, however, that when they get to a point that I am needed, I will be glad to step in and set up a conference or do what is needed to assist them in resolving the matter. (BP1-I1-R12)

The Comprehensive School Improvement Plan (CSIP) included plans that advocated the principal and teachers gaining and spending resources for instructional purposes. Some examples were: (a) arts integration, (b) extend Accelerated Reader Program, (c) employ an ESS tutor through a daytime waiver to assist students in reading, (d) support the science club, (e) fund the Junior Achievement Program, (f) add computers to the classroom, and (g) add updated software programs (BD2-R80).

### *Learned from Others*

The principal and teachers learned from others through instruction and shared decision-making.

*Instruction.* The data were replete as to how the teachers and Tims learned from each other about instructional matters. Tims provided the following example: “We have meetings once every nine weeks where the teachers get together and analyze student work. We learned about that last year from an outside speaker” (BP-I2-L1). Ms. Arch concurred, “Mr. Tims introduced us to analyzing student work to help us become better teachers. We look at samples of student work to see where our students were lacking and then go back and teach it” (BT3-I1-L68). Norm 7 described the teachers and Tims as working together to implement new instructional strategies to accomplish goals, validating that the norm was part of the principal and teacher relationship at Brandon.

Tims gained instructional information from teachers in various ways. He explained, “I talk to people who I consider to be key teachers and maybe leaders of a certain area to try to find out what they think about an issue” (BP-I2-L3). He also gained teacher insight through administering surveys. Ms. Stockton indicated that Tims began planning for a schoolwide reading initiative after receiving teacher survey results: “He sent a survey to all the teachers asking them if they would be willing to give up planning time to assist students. I agreed to give one day of planning” (BT2-I1-L117). Ms. Arch provided another example: “He sent around a survey about how teachers thought the students were treated in school. For example, are students treated with respect? I believe he will address the results in a faculty meeting” (BT3-I1-L118). The principal and

teachers also shared information through committee work. Tims explained that the committees work on issues and then report to the SBDM Council (BP-I1-L5).

Tims and the teachers communicated about instructional issues: “I talk with teachers frequently. We have a system in place. We have meetings about curriculum to make sure that we are all on the same page about what we should be doing” (BP-I2-L14). Teachers shared with Tims about reading achievement concerns. He explained, “Two teachers came to me toward the end of the year who were concerned about our reading practices. They had just finished their Reading Specialist degrees, and they came to me with ideas about what we need to be doing” (BP-I2-L9).

The teachers and Tims learned from visiting other classrooms. Ms. Butler, a kindergarten teacher, explained, “We visited the upper grades, and we could see the difference in student development. Afterwards, we had a meeting and talked about what we saw” (BT1-I1-L34). Mr. Tims reflected on his classroom walk-throughs as opportunities for him to visit classrooms: “I go into the classrooms on a daily basis. When I see things worthy of putting in our newsletter, I make a note of it on my clipboard. I will praise the teachers for using good practice” (BP-I1-L120). Ms. Stockton added, “Mr. Tims does periodic walk-throughs. He comes into the classroom; he does not interrupt or anything. It is never a formal type of assessment, but he comes in to keep in touch with what is going on in the classrooms” (BT2-I1-L55). Norm 1 and Norm 9 substantiated that Tims used walk-throughs to learn about instructional strategies.

Ms. Arch described how she informed Tims about instructional strategies: “He listens to everything I say about my students, the weaker students. He takes that into account for the whole school. He thinks about ideas that we can use for other students”

(BT3-I1-L67). Arch added, “Mr. Tims is very active. He comes in every day in most all the classrooms just to see what we are doing” (BT3-I1-L80).

Ms. Norman reflected on Tims ability to learn from others: “We have a teacher that is very knowledgeable in the areas of reading. Mr. Tims will ask for her advice and help” (BT5-I1-L86). Norman also reflected upon teachers learning from each other: “One thing about this school as a whole, we share everything. I think we are a very open school. If it were not for our coworkers, I do not think anyone would survive. We share everything” (BT5-I1-L101).

Ms. Arch described an instructional program that Tims learned about from her: “We have a phonetic reading program in special education, and I have seen wonderful strides in my students. I told Mr. Tims it was working for my weakest students. He talked to others about it and now our primary teachers are using it” (BT3-I1-L66). Norm 6 described Tims as listening to teachers about instructional strategies and that he passed that information on to other teachers.

*Shared decision-making.* Shared decision-making between the principal and teachers was operational at Brandon Elementary. Grade level planning meetings occurred monthly and included teachers and the principal discussing instructional issues. Observation of these meetings validated this shared decision. Teachers and the principal discussed problematic areas and worked toward a proactive approach. At the third grade planning meeting, the teachers and Tims discussed the climate survey results that Tims had given to the faculty. They discussed each item and rationalized the outcome and next steps if improvement was needed (BO1-2). For example, student access to computers was rated low. Tims and the teachers were surprised at this rating. Ms. Keen, a third grade

teacher, thought this could have been interpreted as students having access to the computer lab. Tims explained, “The lab is open if someone has a webquest or there are other instructional reasons for using it” (BP-O1-L125). Other issues were discussed, such as discipline procedures, gifted and talented services, lesson plan content, and power standards. Norm 12 established that Tims and the teachers used common planning meetings to critique instructional strategies and improve student outcomes.

Tims explained how committees were used for shared decision-making: “We have six committees. They will take an issue and work with it and report the results to the SBDM Council, and we go from there” (BP-I2-L118). Tims provided this example of shared decision-making operationalized through committees. Two teachers approached Tims regarding reading achievement concerns. After hearing their concerns, he formed a voluntary reading committee to make instructional reading decisions: “We formed a committee and worked on it” (BP-I2-L119). Ms. Stockton concurred, “We spoke with Mr. Tims about targeting students who are reading below grade level. It started as an informal meeting and that led to a committee being formed of teachers who were interested in revamping our literacy program” (BT2-I1-L120).

Ms. Arch recalled committee work at Brandon: “I was on a reading committee with Mr. Tims. We all gathered together to come up with some ideas to help the lower achieving students in reading because we had several students reading below grade level” (BT3-I1-L121). She added, “I am chairperson of the Classroom Management Attendance and Placement Committee. This addresses a child’s placement in a classroom, particularly parent requests for a particular classroom. The committee came up with some ideas. We will meet again before it goes before the SBDM Council” (BT3-I1-L122). Ms.

Arch recalled other committee work: “The committee members and I talked about ideas, including ideas that Mr. Tims’ had about the situation because he did not attend the last meeting. We are going to come up with more recommendations and hopefully develop a plan” (BT3-I1-L123).

Ms. Norman reflected upon committee participation: “I have served on the SBDM Council in the past but am currently serving on the Outdoor Classroom and Extracurricular Activities Committee. We promote the outdoor classroom. Mr. Tims meets with us on occasion. We report to the SBDM Council and keep them informed of our progress” (BT5-I1-L124). Norm 15 established that the school committees made instructional decisions and reported that information to the SBDM Council. The SBDM Council made instructional decisions to improve student outcomes.

The Brandon Elementary CSIP substantiated that shared decision-making was present through committee work. The following committees were responsible for specific strategies and activities listed in the CSIP: Textbook Committee; SBDM Committees; and Extracurricular Activities, Safety, and Outdoor Classroom Committee.

Tims also used an informal approach to shared decision-making. He asked those he considered to be teacher leaders for input when making important decisions. “I will talk to people who I consider to be key teachers or leaders of a certain faction of teachers, and I try to find out what they think about it and see if there is a concern.” (BP-I1-I51). Ms. Arch concluded, “He wants any idea that we have” (BT3-I1-L126).

### *Instructional Capacity Building*

Instructional Capacity Building was described through student barriers to learning, instructional improvement, and a shared goal.

*Student barriers to learning.* The principal and teachers worked to reduce student barriers to learning. Tims provided an example of a student who had experienced problems as a result of custody issues and how the Brandon Elementary staff worked to reduce that barrier:

We contacted local agencies that council children, and I also spoke with our Family Resource Coordinator. We tried to get the family help so that the child would be successful in school. We tried to help them overcome those barriers. It worked really well for this student. She is happy when she gets off the bus, and that is what we want. We want her happy at home, and we want her to come to school and be successful. (BP-I1-R7)

Principal Tims added that although some students had barriers to learning that originated from the home, the school should be “. . . a safe place where students can be loved and learn at the same time” (BP-I1-R68). The last line of the Brandon Elementary mission statement supported this notion: “Brandon Elementary School is a safe and supportive place” (BD2-R98).

Ms. Arch recalled an instance when she and Tims discussed her successful classroom management strategies. She said that he asked her why her students were so well behaved, and she explained, “My students know that I love them, that is the first thing. I can have some of the worst behaved students, and I do not see that behavior” (BT3-I1-R66).

Ms. Stockton reduced student barriers to learning by motivating individual students:

I have a little girl in my math class who likes chocolate taffy. That is all it takes. One day she was really good so she received a reward from the goody box and she asked for chocolate taffy. I told her I did not have any, but I would next time. (BT2-I1-R73)



Ms. Norman also shared her thoughts about student barriers to learning: “If we knew the students’ home lives and their personal stories, it would probably be hard for us to work with them and not cry. We expect the same out of all children. We have high expectations” (BT5-I1-R52). She further elaborated and stated that Tims acknowledged those needs: “The students that need extra help, whether that be clothing or extra compassion for the student, he talks to us about it. He knows that we have to expect the best for the student” (BT5-I1-R55). Norm 16 validated that the teachers and principal had a student focus and that they worked to make the school a place where students felt safe and could learn.

Ms. Arch provided an example of informing Mr. Tims of student sickness. She recalled:

I try to keep Mr. Tims informed about when my children are out of school with sickness. I have a child with a heart condition. The principal needs to know what is going on with my students and with all students. If I should not be here and there was a substitute, for example, he will know what is happening if something develops with this child. (BT3-I1-R72)

Ms. Cary and Principal Tims also communicated about student barriers to learning: “I have gone to Mr. Tims about strategies that I am using with a student having a hard time or a behavior problem. When the parent comes in, he is supportive about what I would like to see happen. (BT4-I1-R75)

Ms. Davidson, a third grade teacher, recalled an instance when she and Tims worked to resolve an issue with a parent: “I had a parent issue that kept getting worse and worse. Mr. Tims helped to resolve that issue” (BT8-I1-R99). Ms. Williams, the librarian, referred to a joint effort among the Family Resource Center, Title I teachers, School Services, and the library to host a Family Reading Night. She recalled that Principal Tims

supported this effort and described it as a way to reduce barriers to learning: “I think any opportunity to involve the parents, to just get them in the door and see what is going on, is a good thing” (BT6-I1-R69).

Ms. Arch recalled the Family Reading Night as enlisting community involvement in the school and as a way to reach out to parents. She explained, “Mr. Tims wants us to be involved with our parents. He wants them to visit the school as much as possible. Another goal is community involvement, and one way we have achieved that is through our Family Reading Nights” (BT3-I1-R70).

*Instructional improvement.* Teachers and the principal desired to improve instruction. Principal Tims referred to the effort to target low readers: “We have a lot of students in the school that are not at their reading level, and it surprised me when I found that out. We score in the 90s in reading. How can that happen?” (BP-I1-R17). Ms. Stockton indicated that 40% of Brandon Elementary students were reading below grade level:

Even though we had really good reading scores, our students either did really well or really poorly. My concern was that although we are doing a really good job for these students who are good readers, what are we going to do for the 40% that are reading below grade level? We want the number of students reading below grade level to be much lower and we want our 60% that are reading above grade level to be reading much higher. (BT2-I1-R66)

Stockton explained that Tims enlisted teachers to assist with a reading assessment to help those reading below grade level: “Mr. Tims sent a survey to all the teachers asking them if they would be willing to give up their own personal planning time to assist students (BT2-I1-R35). Tims reported that every child would be tested to target reading weaknesses: “We have taken our whole reading program and revamped it. We are going to take all the people in our building and complete an individual reading assessment on

every child. We are going to find out where their comprehension problems are” (BP-I1-R66). Norm 5 and Norm 11 validated the existence of teacher-initiated strategies, such as the targeted reading initiative at Brandon Elementary. In Norm 5, teachers influenced Principal Tims by providing feedback about instruction, with the result that he and the teachers collectively make decisions about instruction. In Norm 11, teachers asserted their influence with Principal Tims about instructional matters.

Ms. Williams explained how a new library schedule supported improved student outcomes and was aimed to reduce student barriers to learning: “We have a schedule so the library is flexible and students can come whenever they want and get a book. There used to be back-to-back classes; and if it was not your class day, then you would have to wait to check out another book” (BT6-I1-R65).

Ms. Butler added that rearranging the library schedule allowed students more access to the library: “Mr. Tims did some juggling with the schedule, and now everyone gets library time and character education time. We did not have it every week, but we do have it now” (BT1-I1-R31). Butler explained the importance in students learning about the library: “Smaller children need to go to the library. They need to learn the library skills that the librarian teaches. They need to learn how to take care of books. They need to learn how the whole library system works” (BT1-I1-R32). She indicated that the schedule had to be changed so the students would experience the full benefits of the library: “They really could not do that just going to the library once in a while. Now they have a library class” (BT1-I1-32).

Ms. Norman recalled how Mr. Tims has worked with students to reduce barriers: “He is pulling out some advanced fifth graders and working with them on math because

sometimes we do not have time for enrichment for those students. As a math person, he looks at those scores, and he wants to get them up (BT5-I1-R47). Norman explained that Tims also read with students: “He reads with the fifth grade classes. He may not stay long, but he is there enough to know what is going on” (BT5-I1-R47).

Mr. Tims provided an example of a schoolwide effort to reduce barriers to learning: “We have meetings every nine weeks where the teachers get together and look at student work. They see what they can do differently in designing performance assessments or open response” (BP-I2-R1). Ms. Arch further described how teachers analyzed student work: “We would bring lessons completed in our class, and we would analyze the student work. Mr. Tims introduced that to us to help us become better teachers. We could see what our students were not getting and then we could go back and teach it” (BT3-I1-R43).

*Shared goal.* Tims and the teachers shared the same goal—improved student outcomes. Sharing this goal enabled Tims and the teachers to build instructional capacity at Brandon Elementary. Tims described Brandon as a school with a student focus: “I like to think of this as a place where students can come and be successful in learning, especially when they are not experiencing success in any other part of their lives” (BP-I1-I57). He further elaborated on Brandon’s mission:

Our main mission is to get the students the best education they can have while they are here. It means we try and use every minute while we are here, even if it is on the playground. We try to make sure every instructional minute is used. We like to think of it as a safe place where students can come and not be bullied by other kids, but they can be open to learning . (BP-I1-I58).

The Brandon Elementary School Report Card concurred with Tims’ summary of the

mission. The mission statement reflected the importance of the safety of children and also that every student would become a lifelong learner (BD1-I59).

Tims credited everyone at Brandon Elementary as sharing the same goal and having responsibility for student success: "When we received our CATS data, I went to each teacher and told them they all played a part in it. I try to go to every teacher, the aids, and the janitors and thank them for what they did to make us successful" (BP-I1-I66).

Ms. Arch explained that the teachers and principal shared a common goal: "I know the goals for the school. They are very high goals. And, therefore, I want to help Mr. Tims achieve those goals, so I will work with him and my students so that I can help him with those goals" (BT3-I1-I62).

Tims indicated that teachers were intrinsically motivated:

Everybody in the building knows why they are here. They are here for the students, they are not here for each other or for themselves. They are here to teach the students all they can and try to be role models for them. (BP-I1-I53)

Ms. Stockton described her motivation as coming from her students: "I am internally motivated, and I am more motivated by my own students. My motivation comes from my classroom and from my students" (BT2-I1-I61).

Ms. Norman described the goals at Brandon Elementary:

For the most part, everyone has the same goals. They want to see the students do well, and we want to do what we can. The teachers are very flexible. They are not so rigid and set in their ways to a schedule or to a book that they had to follow. People are able to change, to work together. (BT5-I1-I63)

Ms. Norman continued to describe the relationship and goals of the teachers: "I think there is a genuine like for each other, and everyone wants to do what is best for the kids"

(BT5-I1-I64). Principal Tims provided an example of the shared goal of improved student outcomes:

We had a voluntary reading improvement committee meeting. It floored me when we had 16 teachers show up after school for this meeting. It was at the end of the year, and we were two weeks away from school being out. CATS testing was winding up. I expected four or five teachers would show up, but there were 16. All 16 were there over an hour, after school, for three or four days. (BP-I1-I65)

Principal Tims possessed a goal for improved student outcomes, as demonstrated by the following examples. Ms. Butler recalled that Tims stopped by the first day of school to meet all the kindergarten students and learn their names:

He came in and wanted to know every child by their first name. I think it is important that he knows them by their names and I think students appreciate that. I do not think they like being called, "Hey you!" I think they want to be called by their name. (BT1- I1-I60)

Tims monitored lesson plans to make sure instruction was appropriate and challenging for students. He explained:

I look at teacher lesson plans and monitor strategies using motivation and evaluations. I want to be sure the students are learning the core content and understand what is going on and not just passively sitting there. They are not sponges. I make sure the teachers are doing interactive things with the students. (BP-I2-I54)

### *Case Interpretation*

The following system is used to increase clarity for the reader. Themes are set apart by the use of capital letters (e.g., **SOCIALIZED PRIORITIES**) and categories are set apart by the use of italic lettering (e.g., *codes of behavior*).

**SOCIALIZED PRIORITIES** set the foundation for an exchange of influence at Brandon Elementary. An exchange of influence was evident as the principal and teachers **LEARNED FROM OTHERS** and contributed to **INSTRUCTIONAL CAPACITY BUILDING**. Brandon Elementary teachers and the principal demonstrated knowledge

about each other that established a working environment conducive for the exchange of influence. They articulated how these SOCIALIZED PRIORITIES became part of the environment. They provided evidence of unspoken *codes of behavior* and how knowing this helped relationships remain positive and productive. They spoke of *limitations and strengths* that affected the working relationships; and, finally, they communicated about *resources* that were provisional by the principal. The principal and teachers displayed an understanding of each other. They knew each other well and how the other operated. This created SOCIALIZED PRIORITIES that set the stage for the exchange of influence between the principal and teachers.

*Codes of behavior* were evident as teachers explained how to approach Principal Tims with suggestions or concerns. They described him as a professional businessman. Teachers perceived Tims as favoring direct and to-the-point conversations or e-mails. Although Tims was easily accessible, teachers were careful to abide by the standard of confidentiality when discussing sensitive issues. Conversations of this nature were discussed in the principal's office and out of the earshot of other students, teachers, or parents.

Knowing these priorities allowed teachers to communicate effectively with Tims. Although some did not prefer to-the-point conversations, they knew that by using this approach the meetings or conversations with him would be more likely to result in positive outcomes. Teachers tailored their approach to match Tims, becoming more businesslike and refraining from elaborate explanations and long conversations.

Tims described the teachers as collaborative and a group that worked well together. They shared ideas and materials and acted as a team to ensure student learning.

Tims proudly shared compliments from outsiders regarding the willingness of teachers to try new strategies. Principal Tims knew which teachers to approach for positive input and feedback. He also knew that some teachers might lean to more negative interpretations of the situations. Understanding teacher individuality and that some teachers take more time to adapt to new situations helped Principal Tims to build positive relationships with the teachers. Teachers noted that Tims was not hesitant to inform those who needed improvement. Improvement plans had been written by the principal to help some teachers improve instructional practices. Other teachers were aware of these situations and indicated if they needed improvement that Mr. Tims would use that approach with them as well.

Brandon Elementary teachers and the principal understood how each other operated within the school environment. There were unwritten codes of behavior that each understood about the other. They were willing to adhere to the codes of behavior so that improved student outcomes could be achieved. **SOCIALIZED PRIORITIES** were exhibited at Brandon. The teachers and the principal articulated that certain behaviors were predictable. This assisted them in relating to each other and created favorable conditions for the exchange of influence between the principal and teachers.

Tims and the teachers described certain *limitations and strengths* about each other. Knowing the limitations and strengths of each other nurtured positive relationships between the principal and the teachers. Principal Tims' background included several years in the high school setting. Teachers were aware of this and noted that Tims was learning about elementary curriculum and was successfully evolving in the elementary setting. Teachers used descriptive phrases and words such as "beginning to open up" and



“evolving.” Tims was comfortable with learning from the teachers and thought it an advantage to have high school experience. Tims was a math teacher and used that expertise to work with student math groups and to analyze student data. Teachers were assured that Tims trusted their expertise and felt comfortable with him visiting their classrooms.

Tims described teacher strengths that led him to informally identify key teachers to whom he would go for input. He also commented that a teacher used too many outdated techniques, and there were teachers that initially had negative attitudes toward change. Tims was aware of teacher expertise and those who needed improvement. He had an insight into teacher productivity and their attitudes toward learning and change.

Tims summed up the entire staff at Brandon as embracing the attitude of continually seeking improvement. He explained that teachers were willing to continue the quest for improved student outcomes for all children. Knowledge of limitations and strengths helped Tims and the teachers know how to better relate to each other. They were aware of the codes of behavior present at Brandon. This created an atmosphere conducive to the exchange of influence between the principal and teachers.

Tims was viewed as a leader willing to allocate monetary *resources* appropriately. Teachers informed Tims of needs and noted that the money was allocated to purchase the instructional materials. Tims and the teachers communicated and worked together to provide optimum instructional experiences for students.

Tims and the teachers were resources for each other by providing each other with up-to-date research about instructional strategies. They gained information through internet research, from graduate level classes, from other educators, or through

professional development activities. They shared this information with each other at faculty meetings, through e-mail, or by placing a copy in staff mailboxes. The teachers and Tims viewed Brandon Elementary staff as willing to share everything. They shared supplies, ideas, research, and information. They were resources for each other.

Tims was a resource for teachers in solving discipline problems. He directed teachers to solve most all of the problems themselves. When the situation reached the point that he was needed, or in the event that a parent conference had been requested, he assisted with the matter. Teachers indicated that Tims had successfully assisted them in resolving discipline issues that had become complex. He and the teachers worked together to solve these problems. As the teachers and Tims shared resources, a socialized priority was established that provided opportunities for the exchange of influence.

The principal and teachers LEARNED FROM OTHERS through *instruction* and *shared decision-making*. The teachers and Tims learned about instruction from each other. Tims assisted teachers in learning to analyze student work by employing an expert from outside the school to train the staff. He and the teachers worked together on this project, resulting in the teachers analyzing student work at various times throughout the year and then planning instruction accordingly.

Tims relied on teacher leaders to inform him about instructional matters. He selected teacher leaders without officially calling them such and without formally announcing the title. He approached teacher leaders for advice and direction on instructional matters. These teachers answered questions and shared their opinions and expertise with him. Ms. Arch indicated that Tims came to her with questions about instruction. Ms. Norman recalled that Tims asked the opinion of a fifth grade teacher who

recently retired. Tims demonstrated a need for the instructional expertise of the teachers. His lack of elementary experience created the need, but his willingness to learn from others helped to offset that deficiency.

Tims learned from teachers by administering surveys. He presented teachers with a survey focused on the reading initiative. Teachers responded to the survey and indicated the ways and the amount of time they could devote to this matter. He also administered a school climate survey and discussed the results in grade level planning meetings. Information from this survey served as a starting point for instructional dialogue and planning. Teachers communicated to Tims that a substantial amount of students were reading below grade level. He did not know about this need until teachers alerted him. The teachers and Tims began to plan how to assist these students.

Tims and the teachers learned from others as they visited the classrooms at Brandon. Tims conducted walk-throughs and used this information for several purposes. He shared instructional strategies gained from the walk-throughs with other teachers through a newsletter distributed on Friday and also at faculty meetings. The walk-throughs provided an opportunity for Tims to learn from the teachers and for him to inform others of good instructional strategies to observe and use. Tims encouraged teachers to observe in other classrooms. Through this process, teachers became informed about other grade levels, which assisted them in planning for their grade level.

Ms. Arch informed Tims about an instructional program that she was using to teach reading and, as a result, students experienced improved outcomes. Tims learned about the program from her and then shared the information with others. As a result, other primary teachers began using the program. Tims learned about the program from a

teacher. He used the information to inform others, and they began using the program.

Student outcomes were improved.

*Shared decision-making* allowed Tims and the teachers to learn from others.

Grade level planning meetings were a form of shared decision-making. Tims and teachers from specific grade levels met and discussed instructional issues. Teachers shared their thoughts about instructional strategies and other school issues, and Tims did the same. This provided an arena for the principal and teachers to learn from others.

Committees met on a regular basis and were a venue for shared decision-making. The Reading Committee developed a plan to help students reading below grade level. Other committees increased efforts toward the outdoor classroom, and others worked on student placement issues. Recommendations from the committees were submitted to the SBDM for final approval. The teachers and Tims learned from each other through committee participation. They shared ideas and arrived at a consensus regarding various school issues. Because committees at Brandon were operational, shared decision-making occurred. Through this process, the teachers and Tims learned from others. Another example included Tims enlisting the opinions of several teachers when making instructional decisions. This was also shared decision-making and allowed Tims to learn from others when making decisions.

Learning from others provided opportunities for influence to be exchanged. At least one of the participants must have something to exchange before an exchange can take place. The principal and teachers learned from each other and exchanged influence and improve student outcomes.

INSTRUCTIONAL CAPACITY BUILDING provided evidence that the principal and teachers worked to reduce *student barriers to learning*. Through the effort to reduce student barriers to learning, an exchange of influence was present between the teachers and principal. The mission at Brandon was to ensure that the school was a safe, positive, and supportive place, which indicated that the full staff was committed to student well being. The teachers and Tims referred to student home life as a factor in student learning. Custody issues and personal problems contributed to student unhappiness and a lack of focus on schoolwork. Tims and the teachers communicated about the general well-being and productivity of students that contributed to building instructional capacity at Brandon.

Teachers indicated that a caring attitude toward students helped to reduce discipline matters. Teachers individualized instruction and interactions with students in order to improve outcomes. They also declared that even though the student barriers to learning were present, they did not lower expectations for student learning. They rewarded students and worked with Tims, who assisted in discipline matters and parent conferences regarding student behavior.

Brandon Elementary hosted a Family Reading Night that involved parents and students. Tims supported this effort and viewed it as a way to reach out to parents. Teachers described the event as a way to get parents into the school. Increasing parent involvement was a way to reduce student barriers to learning that began as a result of student home life. Tims and the teachers were passionate about reducing student barriers to learning and tried to individualize efforts depending upon student circumstances. An

exchange of influence was present through the common effort to reduce student barriers in personal and home situations.

The principal and teachers worked together for *instructional improvement*, which resulted in an exchange of influence. Forty percent of Brandon students were reading below grade level. An effort was in place to assess all students to target reading strengths and weaknesses. Tims and the teachers were strategizing to improve student reading abilities. They were sharing information, ideas, and plans for instructional improvement.

The library schedule had recently been improved to accommodate all learners. The librarian approached Tims with the concern that not all students were scheduled for a library class. He adjusted the school schedule so that all students now have a library class at least once a week. Other teachers concurred that it was important for all students to have access to the library. Tims and the librarian worked collectively to solve this problem.

Tims approached fifth grade teachers about working with advanced fifth grade math students. He was a high school math teacher and used his math expertise to target students who were working above grade level in math. Fifth grade teachers worked collaboratively with Tims to make this possible. They referred the students and helped to schedule a time for these students to meet with Mr. Tims for the math enrichment. The teachers also informed Tims of the math content to be covered. The fifth grade teachers and Tims collaborated to provide enrichment for advanced students.

The teachers and the principal met every nine weeks to analyze student work and plan instruction accordingly. Tims arranged a professional development activity to train teachers and himself in this process. Tims and the teachers worked cooperatively to

improve student outcomes through this method that contributed to instructional capacity at Brandon. Throughout this process of instructional improvement, an exchange of influence occurred.

Tims and the teachers embraced the *shared goal* of improved student outcomes. Sharing this goal ensured that the work of the principal and teachers was purposeful and collective and served to build instructional capacity at Brandon. Teachers articulated that they shared the same goal as Tims and acknowledged that his goal was improved student outcomes. Teachers indicated that their motivation came from the students and not from the principal. They displayed empathy and genuine caring about students, their achievement, and their general well being.

Tims and the teachers expressed concerns about aspects of student home life that were barriers to student learning. Student learning was paramount and was the focus of everyone at Brandon Elementary, which created a collective effort of the full staff to improve student outcomes—INSTRUCTIONAL CAPACITY BUILDING.

The teachers and Tims were focused on the same goal, improved student outcomes. Joining together to accomplish this goal established positive relationships between the principal and teachers at Brandon Elementary that resulted in an exchange of influence. They knew what motivated each other. The principal and teachers tolerated the limitations of the other, if improved student outcomes remained the focus.

The shared goal of improved student outcomes created a commonality between the principal and teachers. The purpose was the same—improved student outcomes. An exchange of influence occurred through the sharing of this goal, which resulted in INSTRUCTIONAL CAPACITY BUILDING.

## Joseph Elementary School Teachers and Principal Blaine

An allegiance to school and community connected the principal and teachers at Joseph Elementary in ways that generated an open communication and an exchange of instructional expertise that improved student outcomes.

### *School Context*

Joseph Elementary School was located in a small Kentucky community with a population of approximately 171 residents. The community was part of a rural county and home to 11,600 people. The landscape included sloping hills surrounded by two rivers and a lake. A renowned landmark brought economic gain and notoriety to the region. The economy was based mostly on agriculture; however, the majority of residents commuted to nearby counties for employment.

Joseph Elementary was named after a manufacturing business established in the 1930s whose product was shipped throughout the United States. Although the manufacturing plant was no longer, in operation the residents remained proud of their heritage. Joseph Elementary honored the local history as well as the school namesake by displaying artifacts from that era in a showcase for students, parents, and visitors to view.

The school district served students through one high school, a middle school, two elementary schools and a newly established fifth and sixth grade center. A curvy two-lane highway led the way to Joseph and passed through the small community that supported Joseph. A visitor could miss the turn to the school, as it was nestled between curves and hills that envelope the area.

Joseph Elementary housed 58 classified and certified staff. The 31 teachers and 17 instructional aides provided instruction and assistance to students in the 17 classrooms



at Joseph Elementary School. The school mission statement was: “The Joseph Elementary School staff accepts the responsibility of providing a balanced curriculum which includes the use of available resources, professional expertise, the cooperative efforts of the school and community, and a conducive learning environment to develop all students into productive, and self-sufficient individuals.” This statement reflected the collective effort of administrators, certified and classified personnel, parents, and community members to bring about optimum educational opportunities for Joseph Elementary students.

Of the 344 students enrolled at Joseph, 51% qualified for free and reduced lunch. Despite this barrier to learning, Joseph Elementary School earned the status of a six-time reward school in the Kentucky accountability system. Student opportunities and honors included: (a) academic team, (b) chorus, (c) talent show, (d) art show, (e) leadership team, (f) peer mediation program, (g) 4-H program, and (h) student technology leadership program. Other advantages at Joseph Elementary consisted of: (a) Orchard Instructional Math Program, (b) Parent Teacher Organization, (c) teacher web pages, (d) family reading and math nights, (e) Friday assemblies to celebrate student learning, (f) high attendance rates, and (g) national winner in the Box Tops for Education program.

Principal Blaine began her career in education as an elementary teacher at Joseph Elementary. After eight years as a classroom teacher, Blaine joined the district staff as an instructional supervisor. She served the students and teachers in this position for 14 years. Upon the retirement of the Joseph principal, Blaine seized the opportunity to apply for the position. She was appointed principal by the SBDM Council and had recently completed four years at this position.

### *Case Analysis*

The three themes that emerged from the data were: (a) Allegiance, (b) Open Communication, and (c) Instructional Expertise. Categories derived from the themes are organized in the matrix (see Table 5). Results from the Principal Norm Checklist are integrated throughout the categories and are also provided in Appendix C.

**Table 5**

Principal Blaine and Joseph Elementary School

| Theme                   | Categories  |
|-------------------------|---|
| Allegiance              | Sense of Community<br>Esprit de Corps   |
| Open Communication      | Student Focus and Celebration of Learning<br>Principal, Teachers, and Parents Shared Information<br>Collaborative Decisions |
| Instructional Expertise | Principal Knowledge<br>Teacher Leaders  |

#### *Allegiance*

An allegiance to Joseph Elementary connected the principal and teachers in ways that promoted an exchange of influence. Allegiance was described through: (a) a sense of community and (b) esprit de corps.

*Sense of community.* Joseph Elementary School had a unique history that contributed to a sense of community, as explained by Principal Blaine:

Years ago, there was an asphalt company located here and the school was built for the workers' children. Joseph Elementary School was named for the company, and we have several artifacts on display here from that time period. We have pictures and newspaper clippings from when Joseph was a high school and also memorabilia from the Joseph Rock Company. Many of our students have relatives that worked for Joseph Rock and that went to school here. We are very proud of our history. (PO-A39)

Ms. Vernon, a third grade teacher, noted that her grandfather worked at the asphalt company: "My grandfather worked at Joseph Rock located in the town of Joseph" (T4-I1-A28). Vernon added that family ties to the community even differentiated the students who attended Joseph:

It is so strange that you can tell a home-grown kid from what I call the implants. The way the home-grown kids act and the way they try is just amazing. Their parents attended school in the county. They are just home grown, their parents and grandparents have lived here all their lives. You can just tell whose parents were born in the community. (T3-I1-A29)

Blaine indicated that the strong heritage led to traditions observed today: "Joseph has a large history of community. We are ready to have our fall festival and we have a king, queen, prince, and princess contest. This is the 51<sup>st</sup> year for this event. It is a legacy—a tradition" (P-I1-A6). Blaine also explained how Joseph's history was honored at the school:

We keep several donated artifacts in a glass display case located in the hall for everyone to enjoy. We have pictures and newspaper clippings from when Joseph was a high school and also memorabilia from the Joseph Rock Company. (PO-A40)

Community members also shared a sense of community with students, as explained by Blaine:

We have a Veteran's Day program and honor the local veterans. It is good for the students to learn about the past and appreciate those who served our country. Another way that community members share with students is the quilting project. People bring in their quilts and tell the history behind them. Ladies from the

community set up in the gym and quilt for the students. This is my favorite project. It will be a school-wide quilt. (PO-A44)

The teachers and Principal Blaine made note of their roots and how this contributed to a sense of community. Blaine was born in the county seat: “I was born in this community, and that is why it is very important to me. I also attended school in this county and graduated from high school here” (P-I1-A1).

Ms. George, a primary teacher, recalled her connection with Joseph and how she came to teach at Joseph: “I was born and raised in this community. I did my student teaching at Joseph, so that is how I ended up teaching here” (T3-I1-A23). Vernon shared her ties to Joseph: “My mother taught at Joseph for 31 years, my grandmother taught at Joseph for 38 years, and my great uncle was superintendent of schools. I attended Joseph through the eighth grade and it is dear to my heart” (T4-I1-A28).

Ms. Reed, a kindergarten teacher, explained that although she didn’t attend elementary school at Joseph, she had a connection to Principal Blaine: “I have known her since I was a child, and I feel very comfortable with our relationship. I feel like she is here to help me, not to find the things that I am not doing right. She is here to boost us” (T2-I1-A16). Ms. Maxey outlined her years at Joseph: “I taught all fifteen years here. I went to school here. I laugh and say I spent four years in high school, four years in college, and other than that—I’ve been at Joseph” (T5-I1-A43).

All teachers checked yes on Norm 1: “Principal Blaine and many teachers at Joseph Elementary have strong ties to the school and community. Many attended Joseph and have lived in the community for most of their lives.” This norm supported the supposition that Blaine and the teachers had a sense of community that created an allegiance to Joseph Elementary.

The principal and teachers recalled connections with Joseph and also each other that contributed to a sense of community. Principal Blaine noted her personal history with Joseph: “This is the school where I taught. I had the opportunity to come back here from the central office, and I was very happy to be back. It is an excellent school” (P-I1-A41). Blaine’s position at the central office provided opportunities to work with the staff: “I helped to implement every program that is here when I was a supervisor. I enjoyed that and learned very much. I gained a lot of good experience from that” (P-I1-A9). Ms. George added an example: “The year that Ms. Blaine moved to the central office is when I began my teaching career. That is how I got so many of her materials. She would just stop by and give me some of her materials and ideas” (T3-I1-A45). Maxey provided further insight into Blaine’s central office position: “We have known each other for several years, even before she was a principal here and she was our instructional supervisor. That is when we established our relationship and when she became principal; the groundwork was already laid” (T5-I1-A35). Ms. Maxey remembered implementing a reading program that Blaine had suggested during her role as supervisor: “I was pretty happy with the way I was teaching reading. Ms. Blaine really wanted me to try this new curriculum. I told her I would give it one year. I tried it for a year and I loved it” (T5-I1-A46). Norms 2 and 3 substantiated that Principal Blaine and the teachers had established relationships and worked together to improve student outcomes prior to Blaine becoming principal.

Teachers noted additional past interactions that contributed to a positive working environment and a sense of community. Ms. George explained, “Ms. Blaine is not a whole lot older than I am. I’ve known her all of my life. When I started teaching she had

the classroom next door” (T3-I1-A22). Ms. Vernon recalled that she and Blaine had known each other for many years: “Ms. Blaine and I go way back before college days” (T4-I1-A24). Norm 2 supported the notion that the teachers and Blaine had established relationships through childhood friendships and other past connections.

Vernon compared the unique learning community at Joseph with other schools she had visited: “I don’t think it is this way every place. It was great to visit other schools and spend the whole day observing. There were seven or eight different schools that I visited. I didn’t see a relationship like we have anywhere else” (T4-I1-A32).

*Esprit de corps.* The principal, teachers, and community members exhibited pride and devotion to Joseph Elementary School, which contributed to an allegiance to the school. Principal Blaine provided an example of this esprit de corps among community members:

Most everyone has to go to work somewhere else unless they work for the school. There is not much employment in this county. You have to drive somewhere else to work. The people that send their children to school here work somewhere else, but they live here. Many of them want to live here so their children can go to school here. (P-I1-A5)

Blaine described community esprit de corps when she recalled community participation in a contest: “Our school was a national winner in the Box Tops for Education Contest. Receiving national recognition in a contest involving community participation said a whole lot about community support here” (PO-A49).

Blaine provided another illustration of community support: “We have over 50 or 60% of our students qualifying for free or reduced lunch. Then we turn around and make \$20,000.00 during our Fall Festival. We have huge community pride in this school. This is a community school” (P-I1-A50). At a SBDM meeting, Principal Blaine asked a

parent member to reflect upon Joseph Elementary: “The atmosphere at Joseph is friendly. The teachers are friendly. The students feel that the teachers are their friends. They talk about their teachers at the dinner table. I think it is just a good school” (PO-A80). Ms. Celsor, a grandparent of a Joseph student, expressed esprit de corps through her satisfaction with Joseph Elementary: “I have been in schools in Alabama, Georgia, and Kentucky; and this is the best overall school I have seen” (PO-A48).

Blaine recalled teacher dedication and an allegiance to Joseph Elementary: “We have Fall into Reading night and many after-school programs. We have almost 100% participation. Nobody gets inservice credit; nobody gets paid for any of those evening events. They do it to help the kids” (P-I1-A47). Norm 8 provided evidence that Joseph teachers attended and supported the Fall into Reading night.

Blaine provided another example of teacher allegiance: “Last spring I presented Stephen Covey’s Seven Habits to the faculty. We stayed several afternoons for 3 or 4 hours and we worked through the materials. They did not get inservice credit; they did it because they wanted to. They’re just great to work with” (P-I1-A7). Norm 16 supported the participation of teachers in professional development activities such as Stephen Covey’s *Seven Habits of Highly Effective People*.

Ms. Reed reflected upon how her relationship with Blaine began and how that affects their present relationship:

The summer after Ms. Blaine graduated from high school, I spent the summer with my aunt who had a beauty shop. I would go to the library next door and Ms. Blaine would read to me. That’s where I got to know her. I was probably eight or nine years old. I respected her even as a child because she was very good to me and showed me that reading was important. She cared enough to read to me. I have a lot of respect for her. (T2-I1-A18)

Blaine described how she enlisted teacher esprit de corps:

I want teachers to know that school is important, but also I know that there are other things we have to put first, such as God and our families. Teachers will approach me with something they have to take care of and they say “I know you understand.” I have a teacher whose sister has been undergoing chemotherapy and wanted to take a personal day to be with her. I told her that I understood and to take it. (P-I1-A8)

Ms. Reed described how esprit de corps was a part of her relationship with Blaine: “I try to be very cooperative. I try to be here even when she tells us we do not have to be. She can count on me for extra duties. If the buses are going to be late, I stay and support her in that” (T2-I1-A19). Reed provided another example of esprit de corps: “I have student teachers and I am a resource teacher. She knows she can ask me and I will do it. We have a really good relationship” (T2-I1-A21).

Blaine shared examples of how she modeled a dedicated spirit:

I have taken over classes for teachers so they will know that I am willing to do what they do. I have cleaned up vomit. I have helped to strip and wax the floors. I want them to know that I was willing to do whatever it takes to get it done. I do not want anybody to think I just sit up there in the office. (P-I1-A11)

Ms. Downing reflected upon Blaine’s honesty and willingness to learn from the teachers: “Ms. Blaine had not taught an assessment grade, and when she attended a writing portfolio training she said she didn’t realize what was involved. She learned right along with us and that made me feel good. She did not pretend that she knew everything (T1-I1-A15).

Ms. Reed indicated that Blaine appreciated kindergarten teachers and students: “She works really well with the kindergarten teachers. Through friends who teach in other schools, I have learned that not all principals think that kindergarten is important. Ms. Blaine has expressed that kindergarten is one of the most important grades” (T2-I1-A17).



Blaine expressed gratitude for her staff and their esprit de corps to Joseph Elementary: “It’s a wonderful school. I stepped into a gold mine and I’m just very thankful” (P-I1-A13).

#### *Open Communication*

Principal Blaine and the teachers demonstrated open communication through a student focus and celebration of student learning as well as the sharing of information and collaborative decision-making.

*Student focus and celebration of learning.* The teachers and Blaine exhibited a student focus and celebration of learning that created opportunities for open communication. Ms. Maxey explained that at Joseph Elementary, students were first priority: “The students come first. If you are wondering if you should do this or that, first decide if it is beneficial to the students. If it is beneficial for students, then do it. If it is just beneficial for you, then don’t” (T5-I1-C84).

The school mission exhibited a student focus, as explained by Blaine: “Our mission is that students perform to the best of their ability and they enjoy learning and are given opportunities to learn in the right environment” (P-I1-C6). She continued, “We really care about our students. The teachers really do care; they do a wonderful job” (P-I1-C7).

Ms. George indicated that she and Blaine shared the same student focus: “Ms. Blaine wants to do everything possible for the students first. I agree with that. Yes, we’re adults, but our job is working for the students. You leave your problems at the door. While you are here, you take care of the students” (T3-I1-C61). Ms. Downing added, “Ms. Blaine really tries to put students first, and that comes across. She wants us to put

those students first and to consider where they come from. We are to keep that in mind when we are working with them” (T1-I1-C92).

George provided an example of the student focus at Joseph: “Maybe we think we cannot schedule in a Christmas program. Ms. Blaine will tell us that the students will enjoy it. She asks us to not think about our hectic holiday schedules, but think about something we can do for the students” (T3-I1-C62). Blaine explained the importance of the student focus: “I have given the message that the students are first, and we do whatever we can to make instruction appropriate for them” (P-I2-E22).

Downing described the student focus through an example of student recognition at Joseph:

Every Friday Ms. Blaine eats with the students who have birthdays. We also have an attendance board and for each day we have perfect attendance, we get a sticker on the board. After the class receives 25 stickers, they are rewarded a party. Ms. Blaine comes to the classroom for the party. The students may decide to have a disco party, a dodge ball party, or it may be a popcorn party. (T1-I1-C94)

Norm 10 supported the notion that teachers and Blaine have a “student-first” philosophy in taking care of the students and providing optimal student learning opportunities.

Ms. Blaine explained about the student focus through a celebration of student learning: “At our Success Celebration held every Friday, we give away awards to students who are doing well. We give academic awards, attendance awards, and other certificates. When I ask the students to come receive their awards—you can tell they are proud” (P-I1-C12). Blaine provided an example:

For example, if all students in a class make 100 on a spelling test, then they will all stand up and cheer. The teachers turn in their awards to me and then we have the schoolwide assembly. They can be recognized by the whole school for their accomplishments. I think they feel proud to get to stand in front of the entire school with something they have learned. (P-I1-C13)

Ms. George explained the Success Celebration: “Ms. Blaine does so much with the Success Celebration. That was such a big thing to not just recognize those getting straight As, but also those who learn to tie their shoes. We try to recognize different students each week” (T3-I1-C72). Blaine described the Success Celebration as helping to build school pride: “One of the things we talk about in the assembly is that we are the best. The students think that Joseph is the best school on earth. They really do believe that. The teachers feel that pride, too” (P-I1-C4). Norm 5 substantiated that student success was rewarded and recognized and was part of the cultural fabric at Joseph.

Ms. Downing provided an example of the student focus at Joseph: “We had a student whose father died recently. We had an assembly and this little boy was called out of the crowd to play basketball and he got to keep the basketball. I believe it was an effort to build him up after such turmoil” (T1-I1-C93).

Blaine indicated that student recognition was a part of the culture at Joseph:

When students reach their goal in Accelerated Reader Program, they get a trophy. We try to do other things to motivate students. We give awards, prizes, and little pins for perfect attendance. At Christmas we have a give-away for students who have good attendance and also for those who have good grades. We give away two computers and four or five bicycles. Our Parent and Teacher Organization (PTO) gives us over \$4,000.00 to buy rewards for the students. (P-I1-C14)

*Principal, teachers, and parents shared information.* Joseph Elementary principal, teachers, and parents maintained open communication by sharing information about student learning. Ms. Blaine declared, “I make it a point to be friendly and kind to parents because I want them to feel comfortable here” (P-I2-C26). Joseph Elementary hosted a Fall into Reading Night and Spring Into Math Night in an effort to increase parent involvement and communication. Norm 8 substantiated that these events celebrated student learning.

Blaine made efforts to see teachers each morning to elicit opportunities for sharing information: “I try to see every teacher between 7:20 and 8:00 AM to see if they need anything. I make a circle throughout the building and would like to do that about three times a day, but that is usually not possible” (P-I1-C8). She indicated that teachers communicated needs due to her increased visibility: “I tell the teachers that if they have a question, I will do my best to give them an answer then. If it requires that I take some type of action, they need to send a written note as well” (P-I1-C24). Ms. George substantiated the importance of Blaine’s morning circle throughout the building:

Every morning I look for her to come down the hall to say “Good morning.” If for some reason I do not see her on our hall, I’m always looking for her because she is always there asking, “How are you?” or “How is it going?” (T3-I1-C59)

George indicated that she preferred face-to-face communication with Ms. Blaine: “I see her every morning. I do not e-mail much. I talk to her on a personal basis” (T3-I1-C65). Vernon, however, indicated that written communication was most successful: “Ms. Blaine has ten thousand things on her mind at one time. The best way to communicate with her is to write an e-mail. Do not just talk with her if you see her in the hall, write it down” (T4-I1-C75).

Ms. Maxey reiterated the importance of Blaine’s effort to share information through the morning greetings: “Sometimes Ms. Blaine’s communication with the teachers may be no more than a ‘Good morning, I hope you have a good day.’ But everyone seems to appreciate it” (T5-I1-C90). Blaine continued to emphasize the importance of principal visibility and availability to teachers and students: “One thing I make sure and do is to see everybody first thing in the morning. I think it is very important that everyone sees me then” (P-I2-C24). Norm 6 substantiated that Blaine

circulated through the school in the mornings to see and speak with as many teachers and students as possible.

Blaine communicated her desire to share information with the teachers through various methods: “I tell the teachers that my door is open and they can come in and talk with me anytime. I give everyone my home phone number, my cell phone number, and my mom’s phone number. I want them to be able to get in touch with me” (P-I2-C25). Teachers reciprocated availability to Blaine: “I ask the teachers to complete an information form so I will have their home address, home phone number, and cell phone number so I can get in touch with them if the need arises” (P-I2-C25).

Ms. Reed explained about sharing information with Blaine: “Sometimes I e-mail her or sometimes I call her. Other times during my planning I’ll drop by her office and ask if I may speak with her for a moment. Her door is always open to the teachers. I certainly feel that way” (T2-I1-C54). Ms. Downing added, “Ms. Blaine is very open. I know teachers go to her a lot. She is really open to our ideas” (T1-I1-C41).

Ms. George provided more insight into sharing information with Blaine: “It is better to talk with her when there are not many people around. She will help you with any situation, but do not broadcast it. When you approach Ms. Blaine, you feel like you can come to her with anything” (T3-I1-63). Ms. Downing added that Blaine was available when needed: “Ms. Blaine and I e-mail each other. I may call her on the phone or catch her in the hall. She is there when I need her. If she is out of the building, she will get back to me as soon as possible” (T1-I1-C45).

Ms. Vernon indicated that she was comfortable with sharing ideas and information with Blaine:

Ms. Blaine is very approachable and she will be very up front. If she likes the idea she will let you know immediately. If she doesn't like the idea, she will also let you know. You do not have to feel "stand backish" with her. She does not make you feel that way. (T4-I1-C74)

Norm 9 indicated that teachers were comfortable communicating concerns with Ms.

Blaine and were supported during student discipline matters, teaching assignments, and differentiating instruction for student needs.

Ms. Maxey described how she shared information with Blaine: "When I approach Ms. Blaine, she knows that I need her attention or I would not be there. She is very focused" (T5-I1-C89). George interjected that even beginning teachers should share information with Blaine: "I would tell a new teacher to not be afraid to approach Ms. Blaine and that they can talk with her about anything" (T3-I1-C64). Ms. Maxey continued, "If we have a question, Ms. Blaine's door is open. We can feel free to ask her because she wants us to ask and she wants to know what is going on" (T5-I1-C85). Ms. Downing also reflected:

If I talk to her about a problem, I know she is going to listen and it is going to be a professional conversation. We may not always agree, but we can talk as colleagues. It does not change our friendship because we have been friends for a long time. (T1-I1-C44)

Blaine and the teachers shared information about student needs. Ms. Reed explained, "I had a student with a special need and I tried everything to help him. Ms. Blaine worked out a schedule for a special needs aid to assist the student" (T2-I1-C50). Ms. George indicated that she and Blaine discussed student placement: "Ms. Blaine has placed students in my classroom because she thought I had a quiet voice and was calm. That is something that she and I have communicated about" (T3-I1-C58).

Ms. Vernon recalled that she shared information with Blaine that led to a solution for a schoolwide issue: “I told Ms. Blaine how I handled this issue within my classroom. I used restroom monitors, a boy monitor, and a girl monitor. Ms. Blaine implemented that strategy schoolwide” (T4-I1-C81). Blaine also shared information through the Curriculum Coordinator who communicated with teachers and then reported back to Blaine. Ms. Blaine explained how the process worked: “Teachers submit the student Star testing results to Ms. Maxey, who reports them to me. We can track their reading gains from one semester to the next. We are trying to begin that in math so that we can see student gains and student needs” (P-I2-C20). Blaine communicated the importance of meeting student needs: “Teachers know how I feel about trying to meet individual student needs. I have projected and communicated that with them in many, many different ways. They know that I want teachers to give students the best we can” (P-I2-C34).

Blaine and teachers shared information through Blaine’s classroom walk-throughs. Ms. Maxey reflected, “Ms. Blaine has always done classroom walk-throughs. Our superintendent said that he liked the classroom walk-throughs and to keep them up and do more” (T5-I1-C89). Maxey continued, “Ms. Blaine has a new gadget, a wireless system that helps her to mark things she observes during the walk-throughs. This helps her to look for trends” (T5-I1-C86). Ms. Vernon noted that classroom walk-throughs began with Ms. Blaine’s principalship: “I had not been used to classroom walk-throughs before Ms. Blaine became principal. I never know when Ms. Blaine is going to look in and say hello and see what is going on” (T4-I1-C78). Vernon continued, “Ms. Blaine makes her presence known to the staff as well as the children” (T4-I1-C79).

Ms. Downing reflected on the classroom walk-throughs: “It doesn’t surprise me if Ms. Blaine just walks in and begins taking part in instruction. I think she really tries to stay involved with the teachers and students together” (T1-I1-C43). Downing provided an example: “The other day I was teaching multiplication and I was showing my students the tricks of the nine times table. Ms. Blaine jumped right in and began showing them the pattern of the nines when you write them down” (T1-I1-E27). Blaine explained how classroom walk-throughs assist in knowing student needs: “Observations and being in the classrooms help to know individual students. The teachers and I can discuss how to help those students progress” (P-I2-C19). Norm 7 supported the significance of classroom walk-throughs as a method of Blaine becoming involved in classroom instruction.

*Collaborative decisions.* Blaine and teachers worked collaboratively in making decisions. Faculty meetings provided opportunities for the teachers and Blaine to communicate about student progress: “As a faculty, we analyze test data. We look at how the students are doing and see how to improve. We analyze previous data to see how to improve instruction” (P-I2-C18). Blaine continued, “At the last faculty meeting, we went over the scores. Usually, though, I pull the teachers involved with assessed grade levels first and let them know they can be proud because we always do well” (P-I1-C10). Blaine further illustrated faculty meetings: “We discuss ideas in faculty meetings. I don’t want to push anything on anybody; but if I feel really strongly about something that I think will help the school, I will say that is what we are going to do” (P-I2-C28).

Instructional decisions are made through grade level meetings and committee meetings. Blaine explained:

The teachers have common planning times. Every teacher has at least four common plannings a week with their grade level. You have one idea; you have



another. Together we have two. They really do plan a lot together, and I want people to be on the same page delivering the same curriculum to the students. If this teacher has this book and this activity, I want all of them to have it. They plan well together. (P-I2-C33)

Norm 12 substantiated that grade level meetings provided opportunities for teachers, the curriculum coordinator, and Ms. Blaine to plan instruction either through the Curriculum Coordinator or through Blaine directly.

Ms. Reed explained that collaboration was important at Joseph by providing this example:

Ms. Blaine wants to know how things are working. She will come by and ask how the four kindergarten teachers are getting along and how our collaborative teaching is going. She wants to know if she can help and if we are comfortable with the way things are going. She wants to know how we feel about the working environment with each other. (T2-I1-C52)

Blaine wanted teachers to have input on curriculum issues: “I want to make sure teachers have input on things that affect the curriculum. If they are going to be teaching and implementing it, then it is important they have buy-in” (P-I2-C29). School committees and grade level meetings provided venues for collaborative decision-making. Blaine explained:

We have chairpersons of each committee and for each grade level. I may ask the chairpersons to look at certain issues. We have a technology committee that will determine what technology to use or how we will implement strategies in that area. We have grant writing committees for various reasons based on their interests or their expertise in those areas. (P-I2-C30)

Blaine continued, “Teachers are involved in the decision-making process through the SBDM committees. Teachers also express their opinions in the grade level meetings. Sometimes I just ask them, ‘I have this idea, what do you think about it?’” (P-I2-E70). The Joseph Elementary CSIP stated that nine committees were operational at Joseph and were comprised of teachers, parents, and classified personnel. Norm 15 indicated that the

decision-making process at Joseph included teachers and principal input through the school committees and the SBDM Council.

Principal Blaine described the growth of a collaborative environment in Joseph Elementary: “We now have more team building and collaborative work instead of everyone doing their own thing” (P-I2-C38). Ms. George indicated that Blaine encouraged collaborative work: “Ms. Blaine wants teachers to meet and share information. When we meet with our Curriculum Coordinator, Ms. Blaine will come to our meetings and ask us to share how we are doing certain things. We are always sharing information. She wants us to do that” (T3-I1-C69). Ms. Reed provided an example of teacher collaboration:

The three kindergarten teachers strongly collaborate. Ms. Blaine sees how well we work together, and she tries to get other grade levels to do more of what we are doing. When we are lesson planning, we will sometimes e-mail each other our lesson plans and we will put them together. We do not do everything exactly alike because there are personality differences, but we try to have the same goals. I think Ms. Blaine has bought into us being that way because she has seen how well it works for the students. (T2-I1-E36)

Norm 4 substantiated that collaborative decision-making was encouraged at Joseph as teachers shared ideas with each other and also with Ms. Blaine.

### *Instructional Expertise*

The principal and teachers used their instructional expertise when exchanging influence with each other.

*Principal knowledge.* Principal Blaine possessed instructional knowledge due to her role as the district supervisor and a classroom teacher. Principal Blaine desired to be a part of the instructional process at Joseph: “I wish I could spend 100% of my time being

the instructional leader, but realistically I have to make time for that because there are managerial and logistical things that have to be taken care of” (P-I1-E1).

Blaine reflected upon her role as district supervisor: “When I was district supervisor, I helped bring in many of the programs that are here at Joseph. I enjoyed that, and I learned so much from it. I gained a lot of good experience” (P-I1-E9). She continued, “It is a wonderful school. I stepped into a gold mine and I am just very thankful” (P-I2-C92).

Blaine elaborated on the advantages of serving as supervisor before becoming principal: “I attended many national conferences and was able to see the big picture. I experienced a lot of the new things and I attended good trainings” (P-I1-E10).

Blaine reflected on professional development activities that she organized for the district when she was supervisor:

I tried to bring in professional development in several areas. We received a Javits grant, which was about differentiating curriculum for different learning styles in the curriculum and lesson planning. All of our teachers participated. We helped to write a book that was published from the training. We received a Reading Excellence grant a couple of years ago and we also have been trained on the Marie Carboe learning and reading styles. Our teachers have incorporated many of the activities in the classrooms. (P-I1-E7)

Blaine applied her instructional expertise by presenting professional development to the faculty: “Last spring I presented Stephen Covey’s *Seven Habits of Highly Effective People* to some of our faculty. They did not get paid for attending. They knew how I felt about that material, and they wanted to learn and improve themselves” (P-I1-E8). Blaine attended trainings and then presented information to the faculty: “I attended a Larry Bell training a year ago in August. I presented this information a couple of times last year, and I have presented it once this year. It is probably time to revisit this again” (P-I1-E24). She

continued, “Through this training, we learned ways to create a culture of high expectations. One example is calling students power names such as ‘smart one.’ I hear teachers doing that. I can see them bragging on students and not accepting excuses” (P-I1-E56).

Before assuming the role as supervisor, Blaine taught at Joseph, which increased her effectiveness as supervisor and then as principal. Ms. George recalled Blaine as a teacher: “Ms. Blaine and I taught together. She knows when you need encouragement. She sent me an e-mail the other day and it really picked me up” (T3-I1-C60). Blaine also possessed knowledge about teachers through previous experiences. Ms. Downing explained, “Ms. Blaine and I let the students know that I was her student teacher and now she is my boss. We have a special friendship, maybe a special connection that others do not have” (T1-I1-C45). Just as teachers noted the teacher and principal collaboration, Norm 2 also supported that Blaine had established relationships with many teachers at Joseph Elementary as district supervisor, a fellow teacher, a supervising teacher, or childhood friendships.

*Teacher leaders.* Teachers shared instructional expertise with Principal Blaine just as Ms. Downing explained: “Ms. Blaine came to our writing portfolio training and said that she did not realize what all we had to do. She was there to learn with us, and it made me feel good that she did not pretend she knew everything” (T1-I1-E58). Downing further elaborated, “If Ms. Blaine sees that you are more knowledgeable in an area, she lets you know that. You can take the initiative if that is the case. Some people would have tried to mask it, but she does not do that” (T1-I1-C32).

Downing provided an example: “The fourth grade teachers have talked with Ms. Blaine about the need of open response, on-demand, and writing portfolio training for the faculty. She has been very open to our ideas, and we have already had several inservices” (T1-I1-E31). Blaine concurred, “We have professional developments for teachers on open response and other strategies that we can do to help promote student achievement” (P-I2-E15).

A teacher leader, Ms. Maxey, served as curriculum coordinator; and based on Blaine’s interest, she worked with teachers on instructional matters. Maxey provided an example: “I talked to teachers about using a computer program for math. They could not schedule the time needed in the lab. I suggested that we train a Title I assistant to use the program and schedule some students in the lab with the assistant” (T5-I1-E54). Maxey added:

Ms. Blaine cannot attend every grade level meeting, so I attend them. I keep a schedule and I outline what we are going to talk about. Before we meet Ms. Blaine and I discuss what we will be working on and after the meeting, I inform her of the progress. She has given me the flexibility to take care of the things I can and save the matters that she needs to address. (T5-I1-E49)

Principal Blaine described how she and Maxey collaborated on curriculum development: “Ms. Maxey has literally done the grunt work, but I provide her with the resources. She will go to the teachers and get input from them. Then I look over it and give approval on what I think and how things should change” (P-I2-E18). Blaine continued, “We are trying to lay out a good, solid curriculum alignment” (P-I2-E55).

Blaine explained how teachers shared instructional expertise at a district professional development activity: “I asked teachers to share instructional strategies with others at a district professional development. A fourth grade teacher shared wonderful

hands-on science lessons. A kindergarten teacher shared about our reading program. We spent the whole day sharing good ideas” (P-I2-E56). Blaine indicated that teachers used ideas from the district professional development activity in their classrooms: “I walked in classrooms and found students using the Jeopardy Game that we learned about at the district professional development. Good!” (P-I2-E57). Norm 13 substantiated that opportunities were provided for teachers to share instructional strategies such as the district inservice.

Teachers shared instructional expertise with Blaine. Ms. Downing described how the fourth grade teachers approached Blaine about schoolwide writing strategies:

The fourth grade teachers approached Ms. Blaine about implementing a schoolwide writing activity. We were using the school blood drive as the subject for persuasive letters. We suggested that she ask the primary grades to participate, maybe not write a persuasive letter, but writing postcards or even making a poster. The idea was that the whole school work on the idea of persuasion. (T1-I1-E27)

Blaine recalled another instance when the fourth grade teachers approached her with a suggestion for a schoolwide strategy: “The fourth grade teachers came to me with an idea for organizational strategies for the writing portfolios. I had posters made, and we put it in every classroom. Those ideas came from the teachers and they help all grade levels” (P-I2-E25).

Ms. Downing provided another example of a teacher approaching Ms. Blaine:

I taught fourth grade science for a long time, and I was beginning to feel burned out. I went to Ms. Blaine with the idea that a new teacher who joined our team could teach science. She was very open and understood that sometimes you do get burned out and sometimes you do need changes. Now the new teacher is teaching science and I am teaching social studies. That has been a big help because I was to the point that I needed a change. (T1-I1-E59)

Ms. Reed reflected upon the importance Joseph Elementary placed upon early learners: “The sky is the limit for kindergarten with Ms. Blaine” (T2-I1-E38). Ms. Vernon agreed that Blaine emphasized the importance of students having a good start to learning: “Ms. Blaine is focused on primary students getting a good start” (T4-I1-E60). Reed provided an example:

My first year as a kindergarten teacher we had a large class and we could not add another classroom. She made arrangements for part of the students to go to a special class one day a week which would leave us with a small group to work with on their alphabet and math skills. Not everybody would have seen the need for that, but Ms. Blaine realized this was the foundation to learning and if the students missed out they would suffer for the rest of their school career. (T2-I1-E39)

Ms. Vernon recalled suggesting a strategy to Ms. Blaine designed to motivate a special needs student: “I have a special needs student that works better with younger students. I asked Ms. Blaine if my class could buddy read with a first grade class. Of course that was fine with her” (T4-I1-C61). Norm 14 supported that Blaine and the teachers strove to individualize instruction based on student needs.

Ms. Maxey shared about curricular projects that she had worked with as curriculum coordinator: “I told Ms. Blaine I wanted to rewrite our primary assessment program, get a curriculum document in each teacher’s hands, and develop a kindergarten reading program that is age appropriate. Ms. Blaine agreed and said that is what she wanted done” (T5-I1-E52).

Maxey recalled that Blaine sent her to a reading training: “Ms. Blaine wanted to implement this reading program for several years. I came back from the training and told her that she was right and it was a wonderful program. I will train the teachers by

modeling the program in their classrooms” (T5-I1-E53). Norm 11 indicated that teachers influenced Blaine about instructional matters.

### *Case Interpretation*

The following system is used to increase clarity for the reader. Themes are set apart by the use of capital letters (e.g., ALLEGIANCE) and categories are set apart by the use of italic lettering (e.g., *a sense of community*).

An ALLEGIANCE to school and community established the basis through which the principal and teachers exchanged influence through OPEN COMMUNICATION and INSTRUCTIONAL EXPERTISE. The principal, teachers, and community members exhibited an ALLEGIANCE to Joseph Elementary. They were proud of the rich history and heritage and exhibited this through a *sense of community*. The principal and many of the teachers attended school at Joseph and also completed their student teaching there. Others reflected upon parents and grandparents that at one time were part of the school community.

Principal Blaine’s history with Joseph Elementary created a unique culture and contributed to a sense of community. She graduated from Joseph and taught there before assuming duties as the district supervisor. Blaine’s knowledge of the school and community provided advantages as principal. She possessed knowledge of the history, culture, and climate of Joseph. Strong relationships were established because of these connections. This created a foundation for the exchange of influence. A commonality existed among the teachers and principal—they had a vested interest in the success of Joseph Elementary. Due to attending Joseph or having lived in the community for most of their lives, the teachers and principal demonstrated that they believed Joseph was their



school. Making Joseph an exemplary school was a way to give back to the community in which they lived. Relationship building seemed effortless at Joseph due to the connections that existed.

In accordance with the rich history at Joseph, the teachers, principal, and community members demonstrated *esprit de corps* to the school. This enabled teachers and the principal to establish relationships that provided a venue for sharing influence. Community *esprit de corps* and support for Joseph was impressive. Blaine shared that the employment opportunities in Joseph were limited but families remained in the area so children could attend Joseph. She indicated that Joseph Elementary was held in high regard, as community members were willing to commute to work so children could be educated there. Dedication and *esprit de corps* were not limited to community members, as teachers also possessed these attributes. Joseph teachers did not receive monetary gains for working at the Fall into Reading Night and for supporting after-school programs. Blaine emphasized that teachers participated because they cared about student learning.

Teachers supported Blaine and displayed *esprit de corps* through becoming resource teachers, student teacher supervisors, and helping with late bus duty. Blaine was forthright about being less knowledgeable in areas than the teachers. Ms. Downing reported that she appreciated Blaine's honesty and willingness to learn from the teachers. Blaine also demonstrated that she was willing to do what the teachers or classified employees do to get the job done. She enlisted teacher *esprit de corps* and respect through this process.

The teachers and principal at Joseph Elementary demonstrated an ALLEGIANCE to the school and community. A sense of community along with the esprit de corps exhibited by the teachers and principal created a commonality and trust that were foundational in the exchange of influence.

Communication at Joseph was purposeful and open and provided opportunities for an exchange of influence. The principal and teachers displayed a *student focus* and *celebration of learning*. *Principal, teachers, and parents shared information* important to student learning through an open and communicative environment, and *collaborative decisions* were made through teachers and principal communication.

The teachers and Blaine communicated regularly about student outcomes. The Success Celebration recognized student achievement and, on occasion, teacher and principal accomplishments. This weekly event promoted frequent communication among the principal and teachers about student outcomes and exhibited a *student focus* and *celebration of learning*. The principal and teachers provided examples of a student focus on individual student needs that provided opportunities for communication and an exchange of influence.

Joseph Elementary principal and teachers communicated with parents through the Fall into Reading Night. This event was purposeful and planned and provided an occasion for teachers, the principal, and parents to celebrate learning. Fall into Reading Night was a venue for communication among the teachers, principal, and parents and increased opportunities for an exchange of influence.

The *principal, teachers, and parents shared information* regularly, which encouraged an exchange of influence. Principal Blaine made an attempt to see teachers

and students each morning before the start of the school day. She circulated throughout the building to classrooms, the hallways, and cafeteria to see and speak to as many teachers and students as possible. The teachers appreciated this purposeful communication. They expected to see her each morning and would communicate various needs to her. Some teachers would follow up with e-mail as a reminder. Blaine's morning ritual showed her desire to communicate with teachers and students.

Teachers described communicating with each other and with Blaine in several ways. E-mail communication was used frequently along with conferences in Blaine's office. Teachers expressed being comfortable when talking with Blaine and described her as open and understanding. Ms. Maxey indicated that Blaine was very focused during conferences about teaching and learning at Joseph.

When the principal, teachers, and parents shared information, individual student needs were met. Teachers provided many examples of conversations with Blaine about student needs that immediately led to a course of action. Blaine used classroom walk-throughs to gain information about students, classroom environments, and teaching strategies. As a result, the teachers and Blaine conversed about student learning and seized opportunities to improve student outcomes.

Joseph Elementary operated through a decision-making process that facilitated *collaborative decisions*. Faculty meetings, grade level meetings, and SBDM committee and council meetings provided the settings for the teachers and principal to make decisions based upon what was best for students. Faculty meetings were used to analyze student data and also learn about new strategies and ideas. Grade level meetings occurred weekly and included participation from Blaine and also the curriculum coordinator. If

Blaine could not be present, the curriculum coordinator communicated the outcome of the meeting to Blaine.

Each teacher was a member of at least one SBDM committee. The committees submitted recommendations to the SBDM council for approval. Teachers were a part of the decision-making process at Joseph through the SBDM committees. Blaine encouraged teachers to make collaborative decisions by providing common planning times to increase teacher communication. The kindergarten teachers worked collaboratively and, on occasion, would team teach. Making collaborative decisions afforded the teachers and the principal opportunities to exchange influence. Faculty meetings, grade level meetings, and SBDM committee and council meetings were venues for the exchange of influence at Joseph Elementary.

OPEN COMMUNICATION was a natural part of the culture at Joseph. A student focus and celebration of learning along with the collaborative decision-making process increased communication among the principal, teachers, and parents. This created opportunities for an exchange of influence among the teachers and principal.

An exchange of influence became operational through the INSTRUCTIONAL EXPERTISE displayed by the principal and teachers. *Principal knowledge* acquired prior to Blaine's principalship, along with information gained through professional development trainings, developed Blaine's instructional expertise that was shared with teachers to improve student outcomes. Blaine had unique advantages when assuming the role of principal. Prior to becoming principal, she served as the district supervisor who worked directly with teachers at Joseph. Blaine possessed knowledge of instructional strategies and programs already in place at Joseph. Ms. Maxey explained that the current

reading program used at Joseph began during Blaine's tenure as supervisor. Blaine had an understanding about the reading program that allowed her to assist teachers in evaluation and refinement. Blaine did not need to spend time learning about these strategies.

Blaine was familiar with grants the district had received and implemented in the elementary schools. She knew about teacher trainings that resulted from the grants. This enabled the principal and teachers to continue using beneficial strategies from the grants. Blaine attended school at Joseph and began her teaching career there. This proved to be beneficial, as she possessed background knowledge about Joseph. Teachers reflected fondly of prior relationships with Ms. Blaine. Some spoke about knowing her all of their lives, and others reflected upon teaching with her at Joseph. The teachers and Blaine knew each other's strengths and personality traits and did not have to spend time learning this so they could work together to improve instruction. Blaine attended trainings and presented information from the trainings to teachers during faculty meetings. Teachers were accustomed to learning instructional strategies from Blaine, and she enjoyed bringing information back from trainings and sharing with the teachers. Principal knowledge was vital to instructional capacity building at Joseph.

*Teacher leaders* were also encouraged and utilized at Joseph. Teachers reported that Blaine did not pretend to be all knowing about instruction and was open and accepting to ideas. Teacher-initiated ideas were welcomed by Blaine; and, therefore, the teachers and Blaine exchanged influence to improve student outcomes. Ms. Downing shared about the fourth grade teachers suggesting that all teachers and Blaine; be trained in writing strategies. Blaine agreed, and writing trainings for the teachers and principal have been provided. Downing also reflected upon asking Blaine about schoolwide

participation in a persuasive writing project. Blaine proceeded to enlist the other teachers in this project so that student outcomes were improved.

Ms. Maxey, the curriculum coordinator and a teacher leader, worked with teachers to improve instruction based upon Blaine's interest. Blaine and Maxey were in constant communication about the instructional initiatives and direction of the school. Blaine also explained that teacher leaders shared INSTRUCTIONAL EXPERTISE at a district professional development activity; and, as a result, these strategies were implemented in the classrooms throughout the school. INSTRUCTIONAL EXPERTISE existed at Joseph Elementary. Blaine and the teachers possessed curricular knowledge and exchanged influence about that knowledge, which ultimately improved student outcomes.

## CHAPTER V

### SUMMARY AND DISCUSSIONS

An exchange of influence was exhibited by each high-poverty, high-achieving elementary school examined in this research study.

#### Summary of Research Findings

The author addresses research question one by abstracting ways the principal and teachers exchange influence. Research Question Two is addressed by using a table to provide examples of the principal and teacher flow of influence. An arrow depicts the flow of influence from the principal to teacher, teacher to principal, teacher to students, teacher to parents, or parents to teacher. To provide further analysis, the first four examples are used as exemplars and are elaborated upon.

#### *Jackson Elementary School*

Jackson Elementary School demonstrated four themes that described the exchange of influence between the principal and teachers. Below are summarizations for Research Questions One and Two.

#### *Question One: In What Ways Did Principals and Teachers Exchange Social Influence?*

The theme *Collectivity* illustrated that teachers and the principal had a productive, working relationship. The terms partnership, team, and together were used by the teachers and principal to describe that relationship, which formed the basis on which influence can be exchanged. Collectivity was considered a prerequisite to the exchange of influence at Jackson Elementary School.

The theme *Motivators for Success* was also a prerequisite for the exchange of influence. The motivators provided a focus toward the common goal of improved student outcomes through a student focus, prior experiences, and a need to be lifetime learners. The presence of these motivators established a foundation or venue in which an exchange of influence was more likely to occur.

The theme *High Expectations* provided evidence that there was a need to exchange influence. The teachers and principal had high expectations for students, and they set high and targeted goals. The principal could not improve outcomes alone. The teachers could not improve outcomes without the principal. A collective effort of the principal and teachers was required to improve student outcomes. To reach these high goals, influence was exchanged between the principal and teachers.

The theme *A Resource For Others* indicated that the principal and teachers were resources for each other. Through a collaborative effort, the principal and teachers changed roles. The principal modeled instructional strategies, thus, operating in a teacher role. The teachers, after receiving training about a new strategy, taught other teachers and the principal the new strategy, thus, becoming leaders of instruction: An exchange of influence followed. The principal and teachers also informed each other of important information that the other needed in order to be successful. Information was shared regarding scheduling issues, student support at after-school events, an overnight field trip, and student rewards. An exchange of influence occurred during these instances. Shared decision-making was part of the culture of Jackson Elementary School in which the teachers and the principal exchanged knowledge about student progress, teacher proficiency of instructional strategies, and other information pertinent to improving



student outcomes. Through the process of shared decision-making and teachers and the principal acted as a resources for others. An exchange of influence was evident.

*Question Two: How Did This Exchange Increase Instructional Capacity Building?*

To build instructional capacity, both the principal and teachers must be involved in the exchange process to ignite the collective power of the full staff to improve student outcomes. Findings for Research Question Two are summarized in a table that exemplifies principal and teacher flow of influence. An arrow depicts the directional flow of influence and is evidence that the full staff was involved in the exchange of influence.

There were various configurations of the flow of influence. The flow was not limited to the principal to teacher and then back to the principal. There were instances when the teacher initiated the flow of influence. There were also instances when the flow included students and parents. The flow involved more than a one-way exchange. To provide further analysis, the first four examples are used as exemplars and are elaborated upon after the table.

**Table 6**

Jackson Elementary Principal and Teacher Exchange that Improved Student Outcomes

| Event                          | Flow of Exchange            |
|--------------------------------|-----------------------------|
| Reading Mastery Program        | P→ TT→ S→ TT→ P→ TT→ S→ ISO |
| CTBS Preparation Program       | P→ T→ TT→ T→ P→ TT→ S→ ISO  |
| Teachers Leading PD Activities | T→ PTT → S→ ISO             |
| Grade Configuration            | TT→ T→ P→ T→ TT→ T→ S→ ISO  |
| Data Analysis                  | P→ TT→ S→ ISO               |

|                                  |   |
|----------------------------------|---|
| Open Response Strategy           | $TT \rightarrow P \rightarrow TT \rightarrow P \rightarrow TT \rightarrow ISO$                |
| Principal Modeling Strategies    | $P \rightarrow TS \rightarrow T \rightarrow S \rightarrow ISO$                                |
| Scheduling                       | $T \rightarrow P \rightarrow T \rightarrow S \rightarrow ISO$                                 |
| Math Alignment                   | $PTT \rightarrow T \rightarrow S \rightarrow ISO$   |
| Materials and Resources          | $T \rightarrow P \rightarrow T \rightarrow S \rightarrow ISO$                                 |
| Student Reward                   | $T \rightarrow P \rightarrow S \rightarrow ISO$   |
| After School Activity Attendance | $TT \rightarrow P \rightarrow TT \rightarrow S \rightarrow ISO$                               |
| Overnight Field Trip             | $T \rightarrow P \rightarrow T \rightarrow S \rightarrow ISO$                                 |
| Mission Statement                | $P \rightarrow TP \rightarrow P \rightarrow TT \rightarrow S$                                 |
| Leadership Team                  | $P \rightarrow TT \rightarrow T \rightarrow PTT \rightarrow TT \rightarrow S \rightarrow ISO$ |

---

Note: P = Principal; T = Teacher; TT = Teachers; S = Student; PTT = Principal and Teachers; TS = Teacher and Student; TP = Teachers and Parents; ISO = Improved Student Outcomes;  $\rightarrow$  = Flow of Influence.

The researcher now uses the first four exemplars to explain how an exchange of influence led to instructional capacity building.

1. The Reading Mastery Program example involved an exchange of influence. The flow of influence moved from: (a) principal to teachers, (b) teachers to students, (c) students to teachers, (d) teachers to the principal, (e) principal to the teachers, and (f) teachers to students. The principal traveled to Oregon and learned about the Reading Mastery program, he shared the information with teachers, and they committed to try the program with students. The students learned to read using strategies from the program. The teachers informed the principal that the program

was successful. The principal decided to continue the use of the program.

Through increased instructional capacity, student outcomes were improved.

2. The CTBS Preparation Program example involved an exchange of influence. The flow of influence moved from: (a) principal to teacher, (b) teacher to teachers, (c) teachers to teacher, (d) teacher to principal, (e) principal to teachers, and (f) teachers to students. The principal gave the information regarding the CTBS preparatory program to a teacher. The teacher shared the information with other teachers, and they decided to use the program. The teacher spoke with the principal and convinced the principal to purchase the program. The teachers used the program with students, and student outcomes improved. Instructional capacity was increased through the purchase and use of the CTBS program.
3. The Teachers Leading PD Activities example exhibited an exchange of influence. Influence flowed from: (a) teacher to principal and teachers, and (b) to students. The teacher trained the principal and teachers about new instructional strategies. As a result of this flow of influence, the teachers used the instructional strategies with the students and student outcomes improved.
4. The Grade Configuration example included an exchange of influence initiated by the teachers. Influence flowed from: (a) teachers to teacher, (b) teacher to principal, (c) principal to teacher, (d) teacher to teachers, and (e) teachers to students. The teachers decided they wanted a straight third and fourth grade configuration. One teacher was appointed spokesperson and explained the request to the principal. The principal approved the request after understanding the reasoning. The teacher then reported the principal response to the teachers. Due to

increased instructional capacity through the flow of influence, teachers implemented the strategy and student outcomes improved.

### *Brandon Elementary School*

Brandon Elementary School exhibited three themes that answered the two central research questions and indicated an exchange of influence that increased instructional capacity between the principal and teachers.

#### *Question One: In What Ways Did Principals and Teachers Exchange Social Influence?*

*Socialized Priorities* were found among the teachers and principal. These socialized priorities demonstrated that the principal and teachers understood aspects about each other that were critical to building positive, working relationships. They knew how to approach each other and communicate with each other. Principal Tims conducted himself as a professional businessman who preferred concise conversations and confidentiality. Tims also understood which teachers were open to new and different initiatives and approached these teachers for input and professional opinions. There must be a relationship before influence can be exchanged; therefore, codes of behavior for one another was paramount for the exchange of influence to occur at Brandon Elementary School.

The theme *Learned from Others* indicated that the teachers and principal exchanged influence at Brandon Elementary. Principal Tims had had high school experience and needed to gain expertise in elementary matters. He was willing to learn from the teachers to increase his instructional expertise and knowledge in this area. Tims learned from the teachers that 40% of students at Brandon were reading below grade level; and, subsequently, the teachers and Tims shared ideas as to how to improve

student outcomes in this area. The teachers learned from others by visiting other classrooms, and Tims gained knowledge by conducting classroom walk-throughs. Principal Tims earned the right to exchange influence by researching instructional strategies and attending professional development activities. Tims had information to share and exchange with teachers. Shared decision-making was another way the principal and teachers learned from others. School committees, grade level meetings, and SBDM Council participation indicated that teacher input was used to make decisions. An exchange of influence was evident through the process of shared decision-making.

The data from the third theme, *Instructional Capacity Building*, provided evidence that the principal and teachers were committed to improving student outcomes. Throughout this effort, an exchange of influence occurred. Students experienced barriers to learning as a result of factors from home situations. Tims and the teachers communicated about the student barriers and exhibited care and concern toward all students. In an effort to reduce these barriers, Tims and the teachers exchanged influence. Instructional improvement resulted in a collective effort of the teachers and Tims. They targeted low performance areas and strove to improve student outcomes. Tims could not do this alone, and the teachers could not do this without the leadership and support of Tims. Strategies to improve instruction were consistently being evaluated, and decisions were made whether to alter or delete existing strategies or adopt new strategies. For these circumstances to occur, an exchange of influence logically was present. Sharing the same goal, to (improving student outcomes), provided many opportunities for Tims and the teachers to exchange influence and build instructional capacity. Teachers and Tims

worked together to improve instruction and reduce student barriers to learning. While doing this, they exchanged influence—they needed each other to accomplish this goal.

*Question Two: How Did This Exchange Increase Instructional Capacity Building?*

The principal and teachers exchanged social influence that increased instructional capacity. A table is provided to summarize Research Question Two. Examples of the principal and teacher flow of influence are followed by an arrow depicting the directional flow of influence. This demonstrates that the full staff was involved in the exchange of influence. The flow of influence was not limited to the principal to teachers and then back to the principal. To provide further analysis, the first four examples are used as exemplars and are elaborated upon after the table.

**Table 7**

Brandon Elementary Principal and Teacher Exchange that Improved Student Outcomes

| Event                            | Flow of Exchange       |
|----------------------------------|------------------------|
| Targeting Low Performing Readers | TT→ P→ TT→ PTT→ S→ ISO |
| Phonetic Reading Program         | T→ P→ TT→ S→ ISO       |
| Student Work Analysis            | P→ TT→ S→ ISO          |
| Library Schedule                 | T→ P→ T→ S → ISO       |
| Student Well Being               | T→ P→ S→ ISO           |
| Student Discipline               | T→ P→ PT→ P→ S→ ISO    |
| Family Reading Night             | T→ P→ T→ TT→ SPP→ ISO  |
| Advanced Math Enrichment         | P→ TT → P→ S→ ISO      |
| Reading Enrichment               | P→ TT → P→ S→ ISO      |

|  |   |
|--|---|
| Increasing Library Inventory           | $T \rightarrow P \rightarrow T \rightarrow S \rightarrow ISO$                                 |
| Extended School Services Changes       | $P \rightarrow TT \rightarrow P \rightarrow TT \rightarrow S \rightarrow ISO$                 |
| Principal Sharing Educational Research | $P \rightarrow T \rightarrow S \rightarrow ISO$   |
| Teachers Sharing Educational Research  | $TT \rightarrow P \rightarrow TT \rightarrow S \rightarrow ISO$                               |
| Learning Center Implementation         | $P \rightarrow T \rightarrow S \rightarrow ISO$   |
| Student Discipline Resource            | $T \rightarrow P \rightarrow PPS \rightarrow ISO$   |
| Teacher Leaders                        | $P \rightarrow TT \rightarrow P \rightarrow TT \rightarrow S \rightarrow ISO$                 |
| Grade Level Meetings                   | $PTT \rightarrow TT \rightarrow S \rightarrow ISO$  |
| Classroom Walk-Throughs                | $T \rightarrow P \rightarrow TT \rightarrow S \rightarrow ISO$                                |
| Teacher Classroom Visits               | $TT \rightarrow P \rightarrow TT \rightarrow TT \rightarrow TT \rightarrow S \rightarrow ISO$ |
| Seeking Input for Reading Strategies   | $P \rightarrow T \rightarrow P \rightarrow TT \rightarrow ISO$                                |
| School Committees                      | $TT \rightarrow PTPP \rightarrow TT \rightarrow S \rightarrow ISO$                            |
| SBDM Council                           | $PTT \rightarrow PTPP \rightarrow PTT \rightarrow S \rightarrow ISO$                          |

---

Note: P = Principal; T = Teacher; TT = Teachers; S = Student; PTT = Principal and Teachers; TS = Teacher and Student; PP = Parents; TPP = Teachers and Parents; PTPP = Principal, Teachers, Parents; ISO = Improved Student Outcomes;  $\rightarrow$  = Flow of Influence.

The researcher now uses the first four exemplars to explain how an exchange of influence led to instructional capacity building.

1. The Targeting Low Performing Readers example involved an exchange of influence. The flow of influence moved from: (a) teachers to principal, (b) principal to teachers, (c) teachers to principal and teachers, and (d) teachers to students. Teachers informed Principal Tims that 40% of students at Brandon

Elementary were reading below grade level. They discussed improvement strategies and decided to form a volunteer reading improvement committee. The committee was comprised of 16 teachers and the principal. Strategies were discussed, and the implementation of those strategies began shortly thereafter. These strategies were designed to improve student outcomes. A flow of influence was evident as the teachers and principal targeted low performing readers and, thus, instructional capacity was increased.

2. The Phonetic Reading Program example also included an exchange of influence. The flow of influence moved from: (a) teachers to principal, (b) principal to teachers, and (c) teachers to students. Ms. Arch approached Principal Tims about a successful phonics program that she had been using with her students. He was unfamiliar with the program until Ms. Arch informed him about it. Tims told other teachers about the program, resulting in all the primary teachers implementing the program in their classrooms. A flow of influence resulted in the implementation of a successful phonics program; and through increased instructional capacity, student outcomes were improved.
3. The Student Work Analysis example included an exchange of influence initiated by the principal. The flow of influence moved from: (a) principal to teachers, and (b) teachers to student. The principal hired an expert to train teachers how to analyze student work. He learned how to do this as well. The principal and teachers analyzed student work and planned instruction accordingly. The teachers implemented the instruction; and as a result of increased instructional capacity, student outcomes were improved.



4. The Library Schedule example illustrated a teacher initiating the flow of influence. The flow of influence traveled from; (a) teacher to principal, (b) principal to teacher, and (c) teacher to student. The librarian informed Principal Tims that all children did not have equal access to the library. Tims revised the schedule so that every class in school had a library class. Increased instructional capacity through the flow of influence resulted in students gaining more access to the library and produced improved student outcomes.

#### *Joseph Elementary School*

Three themes emerged from the data at Joseph Elementary School and indicated that the principal and teachers exchanged influence. The themes are used to answer Research Questions One and Two.

#### *Question One: In What Ways Did Principals and Teachers Exchange Social Influence?*

A shared *Allegiance*, the first theme, created a principal and teacher relationship foundational in exchanging influence. Teachers and the principal connected through a sense of community that led to an esprit de corps to Joseph Elementary. Many of the teachers and the principal attended school at Joseph and subsequently taught there. The majority of staff members had lived in the community all of their lives. The success at Joseph Elementary was a measure of community pride, as many had vested interests in the school. Allegiance to Joseph was a manner in which the principal and teachers connected; therefore, an exchange of influence occurred frequently and purposefully.

The theme *Open Communication* provided evidence that the principal and teachers communicated openly, often, and with purpose. Maintaining a student focus and celebrating student success was common at Joseph. The teachers and the principal were

accustomed to seeing each other and conversing about improving student outcomes. Classroom walk-throughs and informal conversations provided opportunities for the teachers and the principal to exchange influence. Collaborative decision-making was part of the infrastructure at Joseph and a venue for open communication. Grade level meetings, faculty meetings, and SBDM committee and council meetings were opportunities for shared decision-making. The teachers and Principal Blaine communicated about ways to improve student outcomes during these meetings; and, as a result, a flow of influence occurred.

The theme *Instructional Expertise* included evidence that the principal and teachers possessed knowledge to share with one another. Principal Blaine was knowledgeable about instruction through her many experiences prior to becoming principal. She was comfortable presenting information to teachers through professional development activities. Teachers were encouraged to share strategies with others and with Blaine. New ideas were welcomed and implemented through teacher-initiated conversations with Blaine. The teachers and Blaine exchanged influence when sharing instructional expertise with each other.

*Question Two: How Did This Exchange Increase Instructional Capacity Building?*

The principal and teachers must become involved in the flow of influence to increase instructional capacity and improve student outcomes. Research Question Two is answered by examples of the flow of influences found at Joseph Elementary. These examples are displayed in Table 8. An arrow depicts the directional flow of influence and is evidence that the principal and teachers were involved in the process. Just as noted in Jackson and Brandon Elementary Schools, the flow of influence was not limited to the

principal to teacher and then back to the principal. There were instances when the teacher initiated the flow of influence. Parents and students were also involved in the flow of influence at Joseph. To provide further analysis, the first four examples are used as exemplars and are elaborated upon.

**Table 8**

Joseph Elementary Principal and Teacher Exchange that Improved Student Outcomes

| Event                             | Flow of Exchange  |
|-----------------------------------|---|
| Success Celebration               | $P \rightarrow TT \rightarrow P \rightarrow S \rightarrow ISO$  |
| District Professional Development | $P \rightarrow TT \rightarrow TT \rightarrow S \rightarrow ISO$   |
| Schoolwide Writing Activity       | $TT \rightarrow P \rightarrow TT \rightarrow S \rightarrow ISO$   |
| Computer Math Program             | $P \rightarrow T \rightarrow TT \rightarrow T \rightarrow P \rightarrow T \rightarrow TT \rightarrow S \rightarrow ISO$ |
| Christmas Program                 | $TT \rightarrow P \rightarrow TT \rightarrow S \rightarrow ISO$   |
| Fall into Reading                 | $PT \rightarrow SPP \rightarrow ISO$  |
| Special Needs Student Schedule    | $T \rightarrow P \rightarrow T \rightarrow S \rightarrow ISO$   |
| Schoolwide Monitors               | $T \rightarrow P \rightarrow TT \rightarrow S \rightarrow ISO$  |
| Student Reading Progress          | $TT \rightarrow T \rightarrow P \rightarrow TT \rightarrow S \rightarrow ISO$   |
| Classroom Walk-Throughs           | $TT \rightarrow P \rightarrow TT \rightarrow S \rightarrow ISO$   |
| Data Analysis                     | $P \rightarrow TT \rightarrow PTT \rightarrow TT \rightarrow S \rightarrow ISO$   |
| Stephen Covey's Training          | $P \rightarrow TT \rightarrow S \rightarrow ISO$  |
| Larry Bell Training               | $P \rightarrow TT \rightarrow S \rightarrow ISO$  |
| Reading Strategies                | $P \rightarrow TT \rightarrow S \rightarrow ISO$  |
| Teacher Writing Training          | $TT \rightarrow P \rightarrow TT \rightarrow TT \rightarrow S \rightarrow ISO$  |

|                                  |   |
|----------------------------------|---|
| Curriculum Alignment             | $P \rightarrow T \rightarrow TT \rightarrow T \rightarrow P \rightarrow T \rightarrow TT \rightarrow S \rightarrow ISO$ |
| Grade Level Meetings             | $PTT \rightarrow TT \rightarrow S \rightarrow ISO$  |
| School Committees                | $TT \rightarrow PTPP \rightarrow PTT \rightarrow S \rightarrow ISO$   |
| SBDM Council                     | $PTT \rightarrow PTPP \rightarrow PTT \rightarrow S \rightarrow ISO$  |
| Fourth Grade Teaching Assignment | $T \rightarrow P \rightarrow T \rightarrow S \rightarrow ISO$   |
| Primary Assessment               | $T \rightarrow P \rightarrow T \rightarrow TT \rightarrow S \rightarrow ISO$  |
| Reading Program                  | $P \rightarrow T \rightarrow P \rightarrow T \rightarrow TT \rightarrow S \rightarrow ISO$                              |

---

Note: P = Principal; T = Teacher; TT = Teachers; S = Student; PP = Parents; PTT = Principal and Teachers; PPS = Parents and Student; TPP = Teachers and Parents; PTTTPP = Principal, Teachers, Parents; ISO = Improved Student Outcomes;  $\rightarrow$  = Flow of Influence.

The researcher now uses the first four exemplars to explain how an exchange of influence led to instructional capacity building.

1. The Success Celebration example involved an exchange of influence. The flow of influence moved from: (a) teachers to principal, and (b) principal to student. Success was a weekly event that celebrated learning at Joseph. Teachers submitted names of students who excelled in various areas. In a schoolwide assembly, Blaine and the teachers presented awards to the students. This increased student motivation and effort, which improved student outcomes. Success Celebration would not have been possible without the flow of influence between the principal and teachers that resulted in increased instructional capacity.

2. The Schoolwide Writing Example also included an exchange of influence. The flow of influence moved from: (a) teachers to principal, (b) principal to teachers, (c) teachers to teachers, and (d) teachers to students. The fourth grade teachers approached Principal Blaine about teacher trainings on writing strategies. Blaine agreed and provided times for the teachers to train other teachers. The teachers used the strategies in classroom instruction. A flow of influence that led to increased instructional capacity resulted in the implementation of schoolwide writing strategies intended to improve student outcomes.
3. The District Professional Development example included an exchange of influence initiated by the principal. The flow of influence moved from: (a) principal to teachers, (b) teachers to teachers, and (c) teachers to student. The principal organized a day for teachers to share instructional strategies with other teachers. The professional development was considered a success, as many teachers shared strategies; and Blaine reported observing the implementation of the strategies in classrooms. This event would not have been possible without an exchange of influence between the principal and teachers, which resulted in increased instructional capacity.
4. The Computer Math Program example illustrated a teacher initiating the flow of influence. The flow of influence traveled from: (a) teachers to teacher, (b) teacher to principal, (c) principal to teacher, (d) teacher to teachers, and (e) teachers to student. Teachers communicated to the curriculum coordinator that they were unable to implement a computer math program due to scheduling difficulties. The teachers and the curriculum coordinator worked out a solution. The curriculum

coordinator discussed the issue and proposed the solution to Ms. Blaine, who approved the new approach. The curriculum coordinator worked with teachers to improve student outcomes based upon Blaine's interest. The flow of influence included the teachers, curriculum coordinator, and principal. Instructional strategies were implemented through this configuration, as the curriculum coordinator, Blaine, and the teachers were in constant communication about instructional issues. Instructional capacity was increased through the flow of influence computer math program schedule.

### Discussion of Research Findings

Commonalities among the three schools are discussed in the cross-case analysis and generalized to the existing literature.

#### *Cross-Case Analysis*

Three findings were common across the three schools and provided evidence of an exchange of influence between the principal and teachers. Common in each of the schools were: (a) Prerequisites for an Exchange of Influence, (b) Teacher-Initiated Exchange, and (c) Needed Components of the Exchange Possessed by both the Principal and Teachers.

#### *Prerequisites for an Exchange of Influence*

Jackson, Brandon, and Joseph Elementary Schools exhibited conditions foundational for an exchange of influence. Prior to an exchange of influence, the venues were created for influence to be exchanged.

Jackson Elementary demonstrated collectivity among the principal and teachers. The principal and teachers functioned through productive, working relationships.

Partnerships, teams, and togetherness described those relationships, which formed the basis for an exchange of influence. Shared motivators for success, such as a student focus, prior experiences, and a need to be lifetime learners, also served as prerequisites for the exchange of influence between the principal and teachers at Jackson Elementary.

Brandon Elementary exhibited prerequisites for the exchange of influence through socialized priorities. The teachers and the principal identified codes of behavior for one another. Knowing the codes of behavior enabled them to communicate with each other in productive ways. The principal and teachers described certain limitations and strengths about each other. Knowing the limitations and strengths of each other nurtured positive relationships between the principal and the teachers. Socialized priorities heightened the likelihood of positive working relationships that became foundation for the exchange of influence.

Joseph Elementary teachers and principal shared an allegiance to the school that produced a venue for the exchange of influence. The teachers and principal operated through a sense of community and esprit de corps. The principal and many of the teachers had lived in the community all of their lives and had attended school at Joseph. Relationships were established that easily progressed to an exchange of influence aimed to improve student outcomes.

#### *Teacher-Initiated Exchange*

All three principals initiated an exchange of influence. In these three schools, however, teachers initiated some of the exchanges of influence. In Jackson Elementary, teachers initiated an: (a) open response strategy, (b) changes to grade configurations,

(c) after school attendance, (d) student rewards, (e) teachers leading PD activities, and (f) scheduling initiatives. Brandon Elementary teacher-initiated exchanges of influence included: (a) targeting low performing readers, (b) increasing library inventory, (c) sharing educational research, and (e) a phonetic reading program implementation. Teachers at Joseph Elementary initiated: (a) participation in a Christmas program, (b) improvement in a special needs student schedule, (c) student reading progress reports, (d) teacher writing trainings, (e) a schoolwide persuasive writing activity, (f) a fourth grade teaching assignment, and (g) changes in primary assessment.

*Needed Components of the Exchange Possessed by Both the Principal and Teacher*

Both the principal and teachers had something that the other needed to be a part of the exchange. Both the Jackson and Brandon elementary school principals increased their knowledge and expertise in elementary curriculum. As a result, they contributed valuable information to teachers who became a part of the exchange of influence. If the principals had not increased their knowledge, they would have been limited in what they exchanged.

The Joseph Elementary principal entered the role as principal with elementary curricular expertise from prior experiences. Blaine had been the district supervisor and also an elementary classroom teacher. She possessed knowledge that enabled her to exchange influence with the teachers. Regardless of the method or timing of receiving the knowledge, all three principals demonstrated possession of valuable information that teachers received to improve student outcomes. This resulted in the initiating of much influence.



The teachers at all three elementary schools possessed instructional knowledge and information about students that the principals received to improve student outcomes. The nature of the teacher role enabled teachers to increase in curricular knowledge and expertise and also to recognize individual student needs. The principal needed access to this information to improve student outcomes. Teachers were a valued part of the exchange, as principals needed their expertise and information to improve student outcomes.

### *Generalizations to the Literature*

The principals and teachers in this research study exchanged social influence in ways that improved student outcomes. These findings are generalized to the literature.

#### *Needed Components of the Exchange Possessed by both the Principal and Teachers*

For an exchange of influence to occur, both the teachers and the principal must be dispensers and receivers of influence. The dispenser must possess something the receiver desires or needs. Homans (1958) defined social behavior as an exchange either material or non-material. Homans also noted: "Persons that give much to others try to get much from them, and persons that get much from others are under the pressure to give much to them" (p. 606). Principal and teachers at Jackson, Brandon, and Joseph elementary schools needed to participate in the exchange of influence. A two-way exchange of influence was evident.

Gouldner (1960) described social exchange as a norm of reciprocity as:

" . . . making two interrelated, minimal demands: (a) people should help those who have helped them, and (b) people should not injure those who have helped them" (p. 171).

Gouldner conjectured that a lack of reciprocity could have existed when one person was

more powerful than the other. According to Gouldner's (1960) theory, the norm of reciprocity may not have seemed to function in every case. The norm of reciprocity is not present at every school, this was not the case at Jackson, Brandon, and Joseph elementary schools. The flow of influence was reciprocal (from the principal to teachers and back to the principal or initiated by the teacher to the principal and back to the teacher), as indicated in Tables 7 through 9. The exchange of influence among the teachers and principal was reciprocal. The teacher and principal reciprocity resulted in mutual exchanges that were within the "natural order of exchange:" the person who had received gave something back to the original giver.

The principal and teachers needed knowledge, information, instructional expertise, insights into student needs, and a vast array of ways to build instructional capacity to improve student outcomes. High and Achilles (1986) found that the principal as an expert had more opportunity to operate within an exchange system in developing instructional expertise so they might develop more instructional expertise so they ". . . exchange this expertness to influence teachers to improve instructional efforts" (p. 117). Principals Glen and Tims studied to increase their instructional expertise through research, attending professional development trainings, and observing teachers. Principal Blaine kept abreast of instructional expertise through her job as instructional supervisor and also made efforts to keep abreast of new research and strategies applicable to the elementary curriculum. These principals were equipped to be dispensers in the exchange of influence. Malinowski's (1926) study of the Trobriand Islanders substantiated this phenomenon. Both the teachers and principals in this research study acted as dispensers because they both possessed something the other wanted or needed to

improve student outcomes. Reciprocity among the principal and teachers existed at Jackson, Brandon, and Joseph elementary schools due the principal and teachers possessing something the other wanted or needed to improve student outcomes.

### *Teacher-Initiated Exchange*

Teachers initiated some of the exchanges of influence. The principal could not improve student outcomes alone and sought to gain the instructional expertise of teachers by influence-gaining strategies that would improve instructional capacity. McDonald (2001) found that principals were " . . . analytical guides who provided appropriate internal and external resources and supported teachers as leaders" (p. 342). McDonald's findings included principals who encouraged collegiality and encouraged teachers to initiate change for improvement and also shared leadership with the teachers. Wolf, Borko, Elliot, and McIver (2000) reported a focus on shared leadership in the schools they studied, as one principal reported: "There is a very strong leadership, and the leadership is not just my leadership. It is coming from the staff" (p. 366). Hargreaves and Fink (2003) also indicated: "Schools are places in which principals, teachers, students, and parents should all lead" (p. 699). Principals cannot meet the challenges of increased accountability alone, as Marshall (2003) described:

The reality is that principals cannot inspire every child, observe every classroom, scrutinize every lesson plan, plan every unit, look through every student portfolio, analyze the results of every test, lead every training workshop, and chair every team meeting. Given the impossible number of academic challenges and the even more overwhelming number of operational demands, principals have to empower teachers to do this work . . . . (p. 709)

While conducting a study on teacher leadership, Anderson (2004) found that "The mutual and interactive influence of teacher leadership on principals was a strong theme throughout the data, as all schools had respondents who indicated an awareness of it" (p.

106). A teacher-initiated exchange of influence was also found in this research study. Jackson, Brandon, and Joseph teachers took initiative without being prompted or coerced by the principal. Teachers possessed the confidence and assertion needed to initiate the change. A two-way flow of influence existed at these schools due to the teacher-initiated exchange of influence.

#### *Prerequisites for an Exchange of Influence*

Jackson, Brandon, and Joseph Elementary Schools demonstrated prerequisites for an exchange of influence. The prerequisites were venues in which the exchange could flow. The venues were: (a) collectivity, (b) motivators for success, (c) socialized priorities, and (d) allegiance. Common to all the venues was an increased communication among the principal and teachers. Similarly, Blase and Blase (1996) found principals contributed to teacher productivity when they encouraged teachers and valued their input. The principals in this research study encouraged communication and valued teacher input. McLaughlin and Hyle (2001) also found that successful principals used increased communication and information sharing to promote positive change in schools. Likewise, the principals in this research study developed positive principal and teacher relationships. These relationships were created through the venues that became the foundation for the exchange of influence.

#### *Implications for Researchers, Policymakers, and Practitioners*

The findings of this study have broad implications for researchers, policymakers, and practitioners.

### *Researchers*

The research questions were answered using qualitative design methods. Further studies may include correlation and experimental design methodologies for reporting and may be more applicable in the federally mandated reform initiative, No Child Left Behind. A larger sample of high-achieving, high-poverty schools could be drawn and participants randomly assigned. This research study may be used as the basis for such designs.

### *Policymakers*

Policymakers should consider the success and positive outcomes of shared decision-making outside the realm of the school councils in Kentucky. Many of the decisions in the three schools in this study resulted in an exchange of influence that transcended the formalized structure of the school council. It is possible that schools may function even more efficiently without school councils. Policymakers should examine the usefulness and efficiency of the councils that were a result of KERA. It is probable that high-achieving schools can operate more effectively without councils.

### *Practitioners*

Principals and teachers participate in reciprocal relationships when each possesses something the other wants or needs, such as curricular expertise. Training should be provided for principal candidates and first-year principals that will inform the principal in instructional matters. Principal training programs should include an instructional focus in their curriculum and training requirements. Teachers should also receive training in leadership at the post-graduate level to increase leadership abilities needed to train teachers and parents in instructional strategies.

## REFERENCES

- Anderson, K. (2004). The nature of teacher leadership in schools as reciprocal influences between teacher leaders and principals. *School Effectiveness and School Improvement*, 45, 97-103.
- Blase, J. (1987). Dimensions of effective school leadership: The teachers' perspective. *American Educational Research Journal*, 24, 589-610.
- Blase, J. (1993). The micropolitics of effective school-based leadership: Teachers' perspectives. *Educational Administration Quarterly*, 29, 142-163.
- Blase, J., & Blase J. (1996). Facilitative school leadership and teacher empowerment: Perspectives. *Social Psychology of Education*, 1, 117-145.
- Blase, J., & Blase, J. (1999). Principals' instructional leadership and teacher development: Teachers' perspectives. *Educational Administration Quarterly*, 35, 349-379.
- Brock, B., & Grady, M. (1998). Beginning teacher induction programs: The role of the principal. *The Clearing House*, 71, 179-183.
- Bulach, C., & Lunenberg, F. (1995). The influence of the principal's leadership style on school climate and student achievement. *People and Education*, 3, 333-351.
- Campo, C. (1993). Collaborative school cultures: How principals make a difference. *School Organization*, 13(2), 119-128.
- Carnegie Forum on Education and the Economy, Task Force on Teaching as a Profession. (1986). *A nation prepared: Teachers for the 21<sup>st</sup> century*. New York: Carnegie Foundation.
- Cascadden, D. (1998). Principals as managers and leaders: A qualitative study of the perspectives of selected elementary school principals. *Journal of School Leadership*, 8, 137-170.
- Cartwright, D. (Ed.). (1959). *Studies in social power*. Ann Arbor, MI: The University of Michigan.
- Cheng, Y. C. (1994). Principal's leadership as a critical factor for school performance: Evidence from multi-levels of primary schools. *School Effectiveness and School Improvement*, 5, 299-317.

- Covey, S. (1991). *Principle-centered leadership*. New York: Simon & Schuster.
- David, J. (2000). Educators and parents as partners in school governance. In R. Pankratz & J. Petrosko (Eds.).(2000). *All children can learn*. San Francisco: Jossey-Bass.
- Davis, J., & Wilson, S. (2000). Principals' efforts to empower teachers: Effects on teacher motivation and job satisfaction and stress. *The Clearing House*, 73(6), 349-353.
- Elmore, R., & Associates. (1990). *Restructuring schools: The next generation of educational reform*. San Francisco: Jossey-Bass.
- Erchul, W., & Raven, B. (1997). Social power in school consultation: A contemporary view of French and Raven's bases of power model. *Journal of School Psychology*, 35(2), 137-171.
- Firestone, W., & Wilson, B. (1985). Using bureaucratic and cultural linkages to improve instruction: The principal's contribution. *Educational Administration Quarterly*, 21, 7-30.
- Frasier, J. (1992). Preparing teachers for democratic schools: The Holmes and Carnegie reports five years later—a critical reflection. *Teachers College Record*, 94, 7-41.
- Fullan, M. (1991). *The new meaning of educational change* (2<sup>nd</sup> ed.). New York: Teachers College Press.
- Fullan, M. (2002). The change leader. *Educational Leadership*, 59(8), 16-20.
- Gardner, W. (1984). A nation at risk: Some critical comments. *Journal of Teacher Education*, 35(1), 13-15.
- Goodlad, J. (1984). *A place called school: Prospects for the future*. New York: McGraw Hill.
- Gouldner, A. (1960). The norm of reciprocity: A preliminary statement. *American Sociological Review*, 25, 161-178.
- Hallinger, P. (1992). The evolving role of American principals: From managerial to instructional to transformational leaders. *Journal of Educational Administration*, 30, 35-48.
- Hallinger, P., & Heck, R. (1996). Reassessing the principal's role in school effectiveness: A review of empirical research, 1980-1995. *Educational Administration Quarterly*, 32, 5-44.

- Hargreaves, A., & Fink, D. (2003). Sustaining leadership. *Phi Delta Kappan*, 84, 693-700.
- Heck, R., Larsen, R., & Marcoulides, G. (1990). Instructional leadership and school achievement: Validation of a causal model. *Educational Administration Quarterly*, 26, 94-125.
- High, R., & Achilles, C. (1986). An analysis of influence-gaining behaviors of principals in schools of varying levels of instructional effectiveness. *Educational Administration Quarterly*, 22, 111-119.
- Hipp, K., & Bredeson, P. (1995). Exploring connections between teacher efficacy and principals' leadership behaviors. *Journal of School Leadership*, 5, 136-148.
- Hlebowitsh, P. S. (1990). Playing power politics: How a nation at risk achieved its national stature. *Journal of Research Development in Education*, 23, 82-88.
- Holmes Group. (1986). *Tomorrow's teachers: A report of the Holmes Group*. East Lansing, MI: Author
- Homans, G. (1958). Social behavior as exchange. *American Journal of Sociology*, 63, 597-606.
- Johnson, J., Livingston, M., Schwartz, R., & Slate, J. (2000). What makes a good elementary school? A critical examination. *Journal of Educational Research*, 93, 339-348.
- Katz, D., & Kahn, R. (1978). *The social psychology of organizations* (2<sup>nd</sup> ed.). New York: Wiley.
- Keedy, J., & Simpson, D. (2001). Principal priorities, school norms, and teacher influence: A study of sociocultural leadership in the high school. *Journal of Administration and Educational Foundations*, 16(1), 10-41.
- Kentucky Department of Education. (2002). *DAC implementation guide*. Frankfort, KY: Author.
- Kentucky Department of Education. (2003). *Federal Title I guidelines*. Frankfort, KY: Author.
- Kentucky Department of Education. (n.d.a). *1998 KIRIS accountability cycle 3 technical report*. Retrieved April 3, 2003, from <http://www.kentuckyschools.net/KDE/Administrative+Resources/Testing+and+Reporting+/CATS/Accountability+System/1998+Technical+Manual+%28KIRIS+Accountability+Cycle+3+Technical+Report+%29.htm>



- Kentucky Department of Education. (n.d.b). *Public education in Kentucky*. Retrieved April 4, 2003, from [http://www.kentuckyschools.net/cgi-bin/MsmGo.exe?grab\\_id=104281320&EXTRA\\_ARG=SUBMIT%3DSearch&host\\_id=1&page\\_id=466&query=public+education+in+kentucky&hiword=PUBLIC+EDUCATION+KENTUCKY](http://www.kentuckyschools.net/cgi-bin/MsmGo.exe?grab_id=104281320&EXTRA_ARG=SUBMIT%3DSearch&host_id=1&page_id=466&query=public+education+in+kentucky&hiword=PUBLIC+EDUCATION+KENTUCKY)
- Kentucky Department of Education. (n.d.c). *Results matter*. Retrieved April 4, 2003, from <http://www.kentuckyschools.net/NR/rdonlyres/eplfp4nmzewxb3whitmfgma26n5wsthm4pbv72jxoeyjj5304svoswjcbunbq2ezuqi5jcai36oyqu6zrlffyt73b/10<sup>th</sup>AnniversaryReport.pdf?IMAGE=Search>
- Kirby, P., & Colbert, R. (1994). Principals who empower teachers. *Journal of School Leadership, 4*, 39-51.
- Leithwood, K., & Jantzi, D. (1990). Transformational leadership: How principals can help reform school cultures. *School Effectiveness and School Improvement, 1*, 249-280.
- Leithwood, K., & Montgomery, D. (1982). The role of the elementary school principal in program improvement. *Review of Educational Research, 52*, 309-339.
- Lindle, J. (2000). School-based decision-making. In J. Petrosko & J. Lindle (Eds.), *2000 Review of Research on the Kentucky Education Reform Act* (p. 279). Lexington, KY: The Kentucky Institute for Education Research.
- Little, J. (1982). Norms of collegiality and experimentation: Workplace conditions of school success. *American Educational Research Journal, 19*, 325-340.
- Lunenburg, F., & Ornstein, A. (1996). *Educational administration* (2<sup>nd</sup> ed.). Belmont, CA: Wadsworth.
- Lusi, S. (1997). *The role of state departments of education in complex school reform*. New York: Teachers College Press.
- MacKenzie, G. (1964). Curriculum change: Participants, power and processes. In M. Miles (Ed.), *Innovation in education* (pp. 399-424). New York: Teachers College Press.
- Malinowski, B. (1926). *Crime and custom in savage society*. New York: Harcourt, Brace, & Jovanovich.
- Malinowski, B. (1985). *Crime and custom in savage society*. Totowa, NJ: Reprinted by Littlefield, Adams, & Company.
- Maeroff, G. I. (1988). Blueprint for empowering teachers. *Phi Delta Kappan, 69*, 473-477.

- Marshall, K. (2003). Recovering from HSPS (hyperactive superficial principal syndrome): A progress report. *Phi Delta Kappan*, 84, 701-709.
- McDonald, D. (2001). *Principal and teacher shared leadership in Kentucky low-income high-achievement schools: Accountability in a high stake environment*. Unpublished doctoral dissertation, University of Louisville. (UMI No. 3015270)
- McLaughlin, L., & Hyle, A. (2001). *The school principal as change agent: An explanatory case study*. Paper presented at the Association Annual Meeting of the American Educational Research, Session 13.17.
- Merriam, S. (1998). *Qualitative research and case study applications in education*. San Francisco: Jossey-Bass.
- Miles, M., & Huberman, M. (1994). *Qualitative data analysis*. Thousand Oaks, CA: Sage Publishing Company.
- Morrison, G. (2003). *Teaching in America* (3<sup>rd</sup> ed.). Boston: Allyn & Bacon.
- National Commission on Excellence in Education. (1983). *A nation at risk: The imperative for educational reform*. Washington, DC: U.S. Government Printing Office.
- Newmann, F., King, M., & Youngs, P. (2000). Professional development that addresses school capacity. Lessons from urban elementary schools. *American Journal of Education*, 108, 259-299.
- Ogawa, R., & Bossert, S. (1995). Leadership as an organizational quality. *Educational Administration Quarterly*, 31, 224-243.
- Pankratz, R., Lindle, J., & Petrosko, J. (Eds.). 1996 review of research on the Kentucky Education Reform Act. The University of Kentucky/University of Louisville, Joint Center for the Study of Educational Policy for The Kentucky Institute for Education Research.
- Pankratz, R., & Petrosko, J. (Eds.). (2000). *All children can learn*. San Francisco: Jossey-Bass.
- Petrosko, J., & Lindle, J. (Eds.). (2000). *Review of research on the Kentucky Education Reform Act*. Lexington, KY: The Kentucky Institute for Education Research.
- Pipho, C. (1990). Reforming education in Kentucky. *Phi Delta Kappan*, 71, 662-664.
- Purkey, S., & Smith, M. (1985). School reform: The district policy implications of the effective schools literature. *The Elementary School Journal*, 85, 353-389.

- Reitzug, U., & Reeves, J. (1992). Miss Lincoln doesn't teach here: A descriptive narrative and conceptual analysis of a principal's symbolic leadership behavior. *Educational Administration Quarterly*, 28, 185-219.
- Reavis, C., Vinson, D., & Fox, R. (1999). Importing a culture of success via a strong principal. *Clearing House*, 72, 199-203.
- Rose v. Council for Better Education, Inc., 790 S.W.2d 186 (Ky. 1989).
- Rossman, G., & Rallis, S. (1998). *Learning in the field*. Thousand Oaks, CA: Sage Publishing Company.
- Schmoker, M. (1999). *Results* (2<sup>nd</sup> ed.). Alexandria, VA: Association of Supervision and Curriculum Development.
- Sergiovanni, T. (1991). *The principalship: A reflective practice perspective* (2<sup>nd</sup> ed.). Newton, MA: Allyn & Bacon.
- Sergiovanni, T. (1996). *Leadership for the schoolhouse*. San Francisco: Jossey-Bass.
- Short, P. (1994). School empowerment through self-managing teams: Leader behavior in developing self-managing work. *Education*, 114, 493-503.
- Singh, K., & Billingsley, B. (1998). Professional support and its effects on teachers' commitment. *Journal of Educational Research*, 91, 229-240.
- Smith, M., & O'Day, J. (1990). Systemic school reform. In *Politics of Education Association Yearbook 1990*. New York: Taylor & Francis.
- Spillane, J., & Thompson, C. (1997). Reconstructing conceptions of local capacity: The local education agency's capacity for ambitious instructional reform. *Educational Evaluation and Policy Analysis*, 19, 185-203.
- Steffy, B. (1993). *The Kentucky education reform. Lessons for America*. Lancaster, PA: Technomic Publishing Company.
- United States Department of Education. (2003). *No child left behind: A toolkit for teachers*. Washington, DC: Author.
- Vogt, W. P. (1999). *Dictionary of statistics and methodology* (2<sup>nd</sup> ed.). Thousand Oaks, CA: Sage Publishing Company.
- Wald, P., & Castleberry, M. (2000). *Educators as learners*. Alexandria, VA: Association for Supervision and Curriculum Development.
- Williams, H. (2000). Teacher perceptions of principal effectiveness in selected secondary schools in Tennessee. *Education*, 121, 264-276.

Wolf, S., Borko, H., Elliott, R., & McIver, M. (2000). "That dog won't hunt!": Exemplary school change efforts within the Kentucky reform. *American Educational Research Journal*, 37, 349-393.

## APPENDICES

### Appendix A

#### Norm Checklist for Jackson Elementary School

Teachers Responding (N = 38)

---

<sup>a</sup> %

- |     |  |
|-----|--|
| 100 | 1. Principal Glen asks for teacher input to help him make decisions. It is not uncommon for him to ask teachers, "What do you think about this (e.g., Reading Mastery Program; School Vision Statement)?"  |
| 100 | 2. Principal Glen has an open door policy; teachers can stop by his office on planning time, can ask him questions when they see him during the day, or they can call him on the office phone to get answers to questions.   |
| 100 | 3. Principal Glen motivates teachers through the use of video clips, quotes, and personal stories from his background to believe that they can accomplish anything as long as they are willing to work for it. Teachers pass on the same sense of assurance to the students, which improves student outcomes.                                  |
| 92  | 4. Principal Glen is knowledgeable about instructional issues, which earned him the right to influence teaching. The Reading Mastery Program is one example. He researched the program and shared information with the teachers and they decided to adopt the program.   |
| 90  | 5. Teachers influence the principal by providing feedback about instructional strategies (e.g., Reading Mastery Program). Glen and the teachers collectively make decisions about the strategy (i.e., to continue, discontinue, or alter the strategy) based upon teacher feedback.  |
| 90  | 6. Teachers initiate opportunities to provide feedback to Principal Glen about instruction. For example, teachers share information with each other (i.e., during team meetings or informal conversations) about instruction. A teacher (or more than one teacher) informs Glen of what is needed to improve student outcomes. Some decisions, |

therefore, are based upon ideas generated and initiated by the teachers.

- 95        7. The teachers and principal work together to implement new instructional strategies to accomplish goals (i.e., CATS accountability goals). Teachers know it is acceptable to make mistakes as long as they have the courage to try the new strategies.
- 92        8. Principal Glen and teachers define what needs to be taught so the curriculum is more intentional (i.e., not left to chance). During the Math Alignment Professional Development Activity he and the teachers of each grade level articulated the progression of the math curriculum to ensure that there were no repetition or gaps and that all math concepts are taught.
- 90        9. Principal Glen often provides instructional expertise to teachers in their teaching. For example, when teachers join the grade levels using Reading Mastery he teaches them how to use the program. When teachers have questions about Reading Mastery he provides answers and direction about the program.
- 100       10. Principal Glen spends time in the classrooms, is in the hallways and the lunchroom, and supervises student pick-up in the afternoon. He is perceived as being accessible to teachers, parents, and students.
- 97        11. Teachers influence Principal Glen about instructional matters. An example is when sixth grade teachers requested to change from a self-contained classroom to switching classes. Another example is when third and fourth grade teachers requested to have straight third and fourth grade classrooms, respectively.
- 95        12. Principal Glen uses grade level planning meetings in which teachers critique instructional strategies to improve student outcomes.
- 82        13. When teachers ask Principal Glen for workbooks, books, or textbooks he provides them because he knows the teachers use them to teach students.
- 84        14. Principal Glen shares important information (e.g., testing information) whether the Central Office is inclined to share it or not. He doesn't hold things back that teachers need to know.
- 90        15. The Leadership Team and Principal Glen together make instructional decisions. The teachers on the leadership team give their input based upon what they believe the teachers they work with need or want.

97

16. Principal Glen acts as a resource to teachers as he has called the State Department of Education and the Central Office for answers to instructional questions. For example, he did this when teachers were working on connections for open response questioning.

---

<sup>a</sup>

Percentage of teachers responding "yes".

## Appendix B

### Norm Checklist for Brandon Elementary School

Teachers Responding (N = 20)

---

a %

- |     |   |
|-----|---|
| 100 | 1. Principal Tims uses classroom walk-throughs almost daily to learn about instructional strategies. He passes this information to other teachers through the Friday focus newsletter, discussions at faculty meetings, informal conversations, and formal evaluations.   |
| 100 | 2. Principal Tims asks for teacher input to help him make decisions. Some examples include decisions about Extended School Services (ESS) resources and the newly implemented literacy centers.   |
| 100 | 3. Principal Tims has an open communication policy; teachers can stop by his office on planning time and can ask him questions when they see him during the day.  |
| 92  | 4. Tims keeps sensitive information confidential and expects teachers to do the same. The importance Tims has placed on confidentiality has created an element of trust between the principal and teachers.   |
| 90  | 5. Teachers influence Principal Tims by providing feedback about instruction with the result that he and the teachers alike collectively make decisions whether to continue, discontinue, or alter instructional strategies. Some examples including reading practices, departmentalization, and math ability grouping.                                 |
| 90  | 6. Having shared instructional strategies with each other during informal conversations, teachers initiate opportunities to provide feedback to Tims about instruction. Teachers inform Tims of what is needed to improve student outcomes. Some decisions, therefore, are based upon teacher feedback to the principal about instructional strategies. |
| 95  | 7. The teachers and the principal work together to implement new instructional strategies to accomplish goals. One example is analyzing student work and then designing instruction to help low achieving students improve outcomes.  |
| 92  | 8. Tims and teachers define what needs to be taught so the curriculum is more intentional and not left to chance. During the vertical and horizontal curriculum alignment he and the teachers articulated the progression of the curriculum to ensure that there were no repetition   |



or gaps and that all curriculum content will be taught.

- |     |  |
|-----|--|
| 90  | 9. Principal Tims often provides instructional expertise to teachers in their teaching. For example, as a result of the classroom walk-throughs, Tims will compliment teachers on good instructional strategies or offer suggestions for improvement. He shares good instructional strategies that he observes in the walk-throughs. |
| 100 | 10. Tims spends time in the classrooms, is in the hallways and the lunchroom, and supervises student pick-up in the afternoon. Tims is accessible to teachers, parents, and students.  |
| 97  | 11. Teachers assert their influence with Principal Tims about instructional matters. An example is when two teachers met with him about targeting students who were reading below grade level. Another example is when primary teachers requested to have 90 minutes of reading instruction instead of 55 minutes.                   |
| 95  | 12. Tims and the teachers use common planning time meetings to critique instructional strategies to improve student outcomes.  |
| 82  | 13. When teachers ask Principal Tims for classroom resources he makes an effort to locate the funding so teachers may have the resources needed to improve student outcomes.   |
| 84  | 14. Principal Tims reads research about good instruction. He provides teachers with various research articles and information from professional development workshops.   |
| 90  | 15. The school committees make instructional decisions and report that information to the School Based Decision Making Council (SBDM). The SBDM makes instructional decisions to improve student outcomes.   |
| 97  | 16. Principal Tims and teachers have a student focus. They are there for the students and strive to make the school a place where students feel safe, become successful, and get the best education possible.  |

---

<sup>a</sup>

Percentage of teachers responding "yes".

## Appendix C

### Norm Checklist for Joseph Elementary School

Teachers Responding (N = 23)

---

a %

- |     |  |
|-----|--|
| 100 | 1. Principal Blaine and many teachers at Joseph Elementary have strong ties to the school and community. Many attended Joseph and have lived in the community for most of their lives.                                       |
| 100 | 2. Ms. Blaine has established relationships with many teachers at Joseph Elementary as District Supervisor, a fellow teacher, a supervising teacher for student teachers, or childhood friendships.                          |
| 91  | 3. As District Supervisor Ms. Blaine and the teachers worked together to improve student outcomes prior to Blaine becoming principal.  |
| 100 | 4. It is not uncommon to observe teachers sharing ideas with each other and also with Ms. Blaine. Collaboration is encouraged and cultivated at Joseph Elementary.   |
| 100 | 5. Rewarding and recognizing success are part of the cultural fabric at Joseph. Each Friday, for example, Principal Blaine recognizes student and teacher achievements at a schoolwide assembly appropriately named Success. |
| 100 | 6. Principal Blaine circulates through the school in the mornings to see and speak with as many teachers and students as possible.   |
| 96  | 7. Blaine conducts classroom walk-throughs as a method of becoming involved in classroom instruction and often observes and sometimes participates in classroom instruction.   |
| 100 | 8. The teachers and Blaine involve parents and community members in the celebration of learning (e.g. the highly attended Fall Into Reading Night and Spring Into Math Night).   |
| 87  | 9. Teachers are comfortable communicating concerns to Ms. Blaine and are supported during student discipline matters, teaching assignments, and differentiating instruction for student needs.                               |
| 100 | 10. The teachers and Principal Blaine have a “student-first” philosophy in taking care of the students and providing optimal student learning  |

opportunities.

- |     |   |
|-----|---|
| 100 | 11. Teachers influence Principal Blaine about instructional matters, such as the fourth grade teachers suggesting that other grade levels use the Blood Drive as an opportunity for persuasive writing and also the Curriculum Coordinator suggesting that the KELP document be revised.        |
| 100 | 12. Grade level meetings provide opportunities for teachers, the Curriculum Coordinator, and Ms. Blaine to plan instruction. Ms. Blaine does not attend every meeting, but the Curriculum Coordinator communicates ideas from Blaine to the teachers and from the teachers to Blaine.           |
| 96  | 13. Opportunities are provided for teachers to share instructional strategies such as the district wide in-service for teachers to share instructional strategies. Many of these strategies have been implemented in the classroom such as the electronic Jeopardy Game used to review content. |
| 96  | 14. Principal Blaine and teachers strive to individualize instruction for students. Individual student needs are discussed at grade level meetings and also through informal conversations. Instructional strategies are decided upon and implemented.  |
| 96  | 15. Teacher representatives from the grade levels are members of school committees, which recommend instructional strategies to the SBDM that makes instructional decisions to improve student outcomes.  |
| 100 | 16. The teachers and principal participate in high-quality professional development activities such as Stephen Covey's <i>Seven Habits of Highly Effective People</i> .   |

---

<sup>a</sup>  
Percentage of teachers responding "yes".

## **CURRICULUM VITAE**

### **LISA DOWNING MURLEY**

146 Deer Meadow Avenue  
Bowling Green, KY 42103  
270-782-0875  
lisa.murley@wku.edu

#### **EDUCATION**

- University of Louisville/Western Kentucky University; Ph.D., Education Administration, 2000-2005
- Western Kentucky University; Rank I, Instructional Supervision, 1997-1999
- Western Kentucky University; MA, Standard Elementary, 1981-1984
- Western Kentucky University; BS, Elementary Education, 1977-1981

#### **EMPLOYMENT HISTORY**

|              |   |   |
|--------------|---|---|
| 2003-present | Instructor  | Western Kentucky University<br>Bowling Green, Kentucky  |
| 2002-2003    | Core Curriculum Consultant  | Kentucky Department of Education<br>Frankfort, Kentucky |
| 1996-2002    | Elementary Curriculum Coordinator   | Alvaton Elementary<br>Alvaton, Kentucky                 |
| 1995-1996    | P4/4 Classroom Teacher  | Lost River Elementary<br>Bowling Green, Kentucky        |
| 1994-1995    | 4 <sup>th</sup> Grade Teacher   | Alvaton Elementary<br>Alvaton, Kentucky                 |
| 1981-1994    | 2 <sup>nd</sup> , 3 <sup>rd</sup> , 4 <sup>th</sup> , & 5 <sup>th</sup> Grade Teacher | Gamaliel Elementary<br>Gamaliel, Kentucky               |

## **PROFESSIONAL ORGANIZATIONS AND RECOGNITION**

- Phi Kappa Phi Honor Society, 1 year
- National Gamma Beta Phi Honor Society, 1 year
- National Education Association Member, 22 years
- Kentucky Education Association Member, 22 years
- Warren County Education Association Member, 9 years
- Monroe County Education Association Member, 13 years
- Delta Kappa Gamma Member, 3 years
- Association of Supervision and Curriculum Development Member, 1 year
- Kentucky Leadership Academy Member, 4 years
- Excellence in Teaching Award, Campbellsville University, 1992
- School Nominee for Warren County Teacher of the Year, 1999

## **PROFESSIONAL EXPERIENCES**

2003-present **Instructor**, Western Kentucky University

- Elementary Education Block I Instructor, in partnership with W.R. McNeill Elementary School, Cumberland Trace Elementary School, and North Warren Elementary School
- Elementary Education Student Teaching Seminar Instructor
- Introduction to Education Instructor
- Western Kentucky University E-train Advocate

2002-2003 **Core Curriculum Consultant**, Kentucky Department of Education

- Assigned to Level I and Level II assistance schools
- Planned with school and district leaders
- Led professional development in the schools and the district
- Collaborated with teachers to design instruction
- Modeled lessons in the classroom
- Recommended and made available various resources to teachers
- Assisted with gap analysis and planning
- Data Analysis Facilitator
- Assisted with Comprehensive School Improvement Team Planning
- Facilitated faculty reviews of Scholastic Review Reports

1996-2002 **Curriculum Coordinator**, Alvaton Elementary School, Alvaton, KY

- Developed oral and written language program at Alvaton Elementary School
- Chair of the Consolidated Planning Process
- Chair of the Professional Development Committee
- Chair of the Textbook Adoption Committee
- SBDM Council Member

- Kentucky Leadership Academy Charter Member
- Presenter for Kentucky Council of Teachers of English State Conference
- Presenter for Warren County Public Schools District Professional Development
- Presenter for Warren County Public Schools Instructional Meetings
- Presenter for Alvaton Elementary School Professional Development Activities

#### **1981-1996 Elementary Classroom Teacher**

Lost River Elementary, Bowling Green, KY  
 Alvaton Elementary School, Alvaton, KY  
 Gamaliel Elementary School, Gamaliel, KY

- Taught in self-contained classrooms and also ungraded primary
- Taught 2<sup>nd</sup>, 3<sup>rd</sup>, 4<sup>th</sup>, 5<sup>th</sup> grade levels along with P4/4 combination and 4/5 combination classrooms
- Experienced transition of Kentucky education throughout the Kentucky Education Reform Act
- Experience with KERP for reporting to parents and experience with grading scales
- Experiences in team-teaching, departmentalized, and self-contained settings
- Supervised student teachers, Title I assistants, and WKU block students
- Administered CTBS, CAT-5, KIRIS, and CATS assessments

#### **PRESENTATIONS FOR TEACHER PROFESSIONAL DEVELOPMENT**

- Murley, L. (2005). Western Kentucky University Teacher Work Sample. Warren County Public Schools, Bowling Green, Kentucky.
- Murley, L. (2004). The Flow of Influence in High-Achieving, High-Poverty Schools. Doctoral Proposal Presentation. University of Louisville and Western Kentucky University.
- Murley, L., Stephens, T., & Embry, A. (2004). Secondary Curriculum Mapping, Green County High School, Green County Public Schools, Greensburg, Kentucky.
- Murley, L. & Johnson, M. (2004). How Gender Shapes Curriculum. Western Kentucky University Mini Writing Project, Bowling Green, Kentucky.
- Murley, L. (2004). Doctoral Panel Presentation, UofL/WKU Doctoral Program, Western Kentucky University, Bowling Green, Kentucky.
- Murley, L. (2004). Western Kentucky University Elementary Partnership Program Presentation, W.R. McNeill Elementary School, Bowling Green, Kentucky.

- Murley, L. & Spugnardi, J. (2003). *Classroom Instruction that Works* (Marzano, Pickering & Pollock, 2000). Western Kentucky University Student Teaching Class, Bowling Green, Kentucky.
- Murley, L. & Johnson, M. (2003). *How Gender Shapes Curriculum*. New Teacher Academy, Western Kentucky University; Bowling Green, Kentucky.
- Murley, L. & Johnson, M. (2003). *Classroom Instruction that Works* (Marzano, Pickering & Pollock, 2000). Monroe County Middle School, Monroe County Public Schools; Tompkinsville, Kentucky.
- Murley, L. (2003). *Teaching Writing to Young Children*. Briarwood Elementary School, Warren County Public Schools; Bowling Green, Kentucky.
- Murley, L. "Reviewing the Scholastic Review." North Metcalfe Elementary, Metcalfe County Public Schools; Center, Kentucky, 2003.

## RESEARCH INTERESTS

- Field-Based Instructional Programs; University and Public School Partnerships
- Integrated Curriculum and Instruction
- Technology in the Classroom
- Data Analysis
- Undergraduate Mentoring
- Authentic Assessment
- Research-Based Instructional Strategies
- How Gender Shapes Curriculum and Instruction